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ABSTRACT

This comprehensive state-wide study of library systems in New York state describes them and analyzes the way they are working; compares that to the intent of library laws and regulations and to the needs of state residents for library services; and recommends changes where a need for them is indicated. (Three types of library systems are identified: Public Library Systems; the Reference and Research Library Resources Systems (RRLRS); and School Library Systems.) Five components were studied: (1) mission and services; (2) governance; (3) intersystem relationships and cooperation; (4) funding; and (5) measurement. Data were gathered through formal surveys; interviews; analysis of relevant reports; and meetings with various groups. The 117 individual types of services provided by library systems that were identified support libraries and citizens in five ways: enhancement of library services; performance of library operational functions; direct services to users; support of library development; and enhancement of cooperation and communication. The results of this study leave little doubt about the use, usefulness, and value of library systems in New York state, although some areas that need improvement are indicated. A lengthy summary of the study is followed by a list of the major recommendations and detailed analyses of the data for each of the areas studied. Appended materials include copies of the questionnaires, and data are displayed in 7 figures and 50 tables. (BBM)

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Library Systems in New York State

1989

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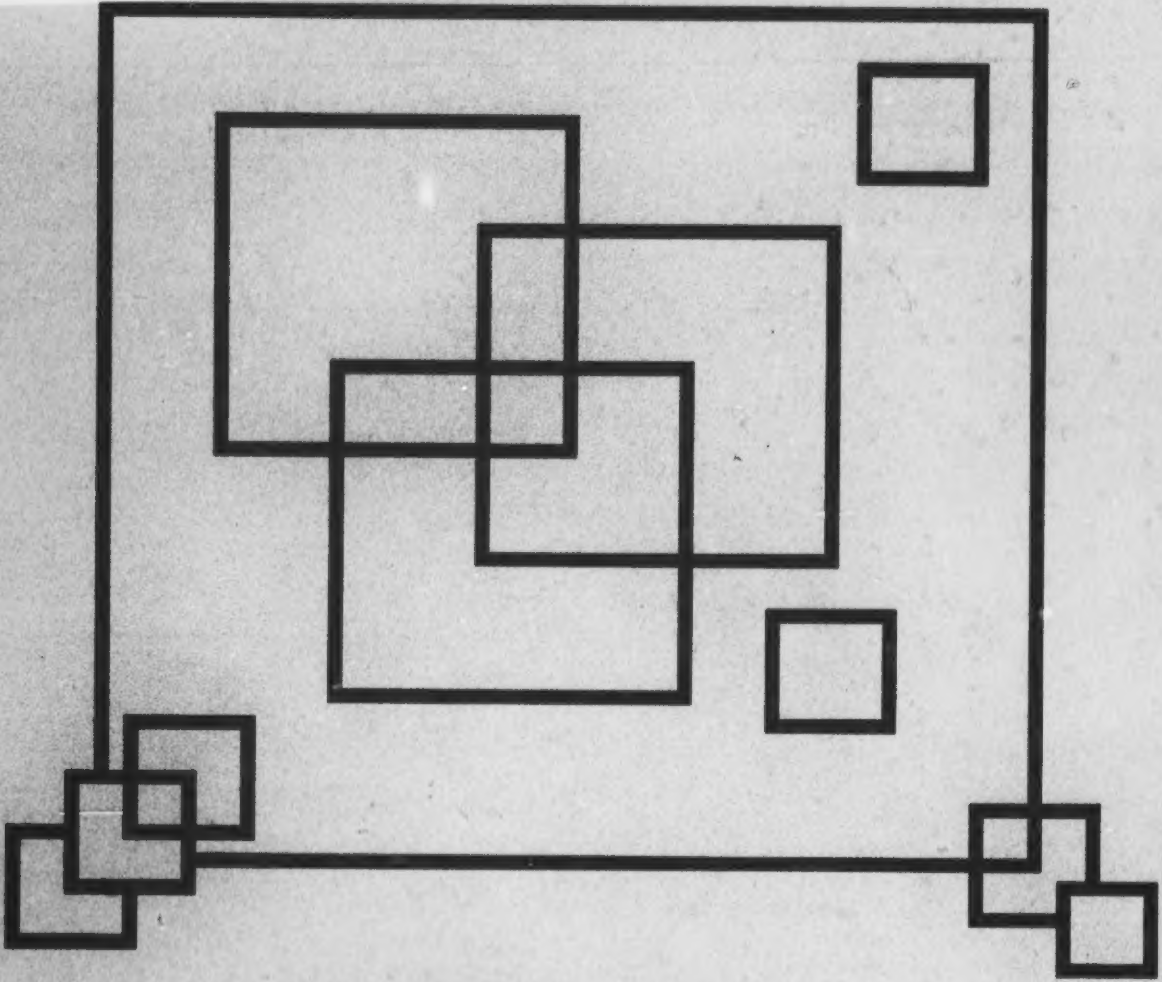

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LIBRARY SYSTEMS
IN NEW YORK STATE

APRIL, 1989

A Study Prepared for:

The University of the State of New York
The State Education Department
Division of Library Development

Report Authored by:

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The Division of Library Development (DLD) staff have all been extremely helpful and forthcoming with information and data. Mr. Joseph F. Shubert and Ms. Roberta G. Cade were particularly supportive without attempting to influence or guide our results. Ms. Judith L. Levine served as DLD Project Administrator. The success of this project is due in large part to her ability to understand what we were trying to accomplish on the project. She showed unusual insights and thoughtfulness. She also had a knack for knowing when to stress schedule and budget and when to let us think through the complexities of the study when that required extra time.

Staff at King Research included Mr. Laurence W. Lannom who performed all of the computer data processing. He was able to perform the difficult task of developing a unified database from several survey instruments and he produced most of the statistical data. Other KRI staff included Jean Bull, Sandi Gosbee, Jill Riedel, Dina Shah and others. We also want to thank Sandra M. Cooper of The Consulting Librarians Group, who served as a consultant on the project. She conducted in-depth interviews and held open meetings for over one-half of the School Library Systems. We received nothing but praise for the way in which she conducted this difficult work. She made many helpful suggestions to the project.

The project was supported by a Systems Study Advisory Committee which was Chaired by Dr. Robert Wedgeworth, Dean, School of Library Service, Columbia University. He was extremely effective in his leadership and guidance throughout the project. The Committee, which was formed prior to the award of the contract, was instrumental in formulating project objectives and actual specifications for the Request for Proposal. The

eight official committee meetings held with King Research were all well-attended and spirited. Deputy Commissioner for Cultural Education Carole F. Huxley attended several of the official committee meetings with King Research and was deeply involved in the early processes, before a contract was awarded. The advice given during these meetings and through other forms of communication was always very useful. The members of the Advisory Committee are listed on the next page.

In order to produce a report of the scope, complexity and importance of the Library Systems Study a large number of people must be willing to participate and contribute. We thank all of you even though literally hundreds cannot be acknowledged by name. The Report reflects an incredible amount of energy and thought of these hundreds that cannot be easily expressed in a few words or pages in this report. We have tried to describe, summarize and analyze a very complex environment. We have also attempted to convey a quantitative perspective on this environment that can be used now and for a long time in the future in making statewide funding decisions; in developing system structure, governance and intersystem relationships; in managing Library Systems; and in accountability of these Systems. We hope the readers of this Report will give it the same attention and thought that the providers of the data, information and suggestions have.

Jose-Marie Griffiths, Ph.D.
Donald W. King

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JOSE-MARIE GRIFFITHS, PROJECT DIRECTOR

Dr. Griffiths has directed statewide library networking and cooperative planning studies in 12 states, 14 regions, and 31 localities. She has particular expertise in computer and telecommunications technology and has conducted a number of basic and applied research projects concerning these technologies for the National Science Foundation, Department of Energy and others. She and Mr. King have developed economic models of the cost, performance, effectiveness and value of information systems and services. They recently completed a Manual on Performance Indicators for Public Libraries (in the UK). Dr. Griffiths also directed a large project to develop competencies of information professionals (including librarians) for establishing new directions in library and information science education. Prior to joining King Research in 1980 she served as a consultant in the UK for five years; Head of the Education and Training Centre, Marconi Avionics; and Director of the Computing Laboratory, Imperial Cancer Research Fund Laboratories. She received her Ph.D. in Information Science from University College, London University in 1977 and has taught at several universities (including Visiting Professor at University of California at Berkeley and The Queen's University, Belfast). She is extensively published with two books (three in process) and over 100 other formal publications. She is frequently asked to present keynote addresses and has given invited workshops throughout the world (14 countries). She is the recipient of a number of awards in the UK and was OCLC Distinguished Lecturer in 1986.

DONALD W. KING, DEPUTY PROJECT DIRECTOR

Mr. King has pioneered in developing evaluation methods, measures, and models, and has conducted landmark studies which have helped the information community by describing and interpreting information systems and environments. He co-founded a survey research firm in 1961 (now believed to be the largest in the world) and founded King Research, Inc. in 1976. He has spent all but two years of his career in these two companies.

He has particular expertise in statistics, survey research and economics. He earned an M.S. degree in statistics from the University of Wyoming in 1960. He has authored or edited nine books (three in process) and has over 200 other formal publications. He has received many honors and awards including: Award-of-Merit, American Society for Information Science (1987); the Distinguished Alumnus of the College of Commerce and Industry, University of Wyoming (1984); elected Fellow of the American Statistical Association (1983); Stallman Lecturer, University of Texas (1983); Miles Conrad Annual Award and Memorial Lecturer, NFAIS (1980); Distinguished Lecturer, National Bureau of Standards (1978). He has held elected offices in ASIS (President) and ASA (Governor of District 1) and has served on a number of Boards of Directors and Advisory Committees for universities, government agencies, and information companies and publishers.

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SCHOOL OF LIBRARY SERVICE
Office of the Dean

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April 19, 1989

Joseph F. Shubert
State Librarian
New York State Library
Cultural Education Center
Albany, New York 12230

Dear Joe:

On behalf of the New York State Library Systems Study Advisory Committee established by the Regents for this purpose, it is my pleasure to transmit to you the final report, "Study of Library Systems in New York State", representing research performed by King Research, Inc. with our recommendations that it be accepted by the Division of Library Development as having fulfilled the general terms and conditions under which the study was authorized.

The Advisory Committee is satisfied that the integrity of the process for accomplishing this work merits the confidence of the State Regents, the Division of Library Development, the library systems and libraries of New York State and indeed citizens who support and receive benefits from the State's libraries of all types.

Working with the Division of Library Development, the Advisory Committee helped to define the essential questions to be answered by the first comprehensive state-wide study of library systems since 1966. Based on those questions a request for proposals was issued by DLD which attracted several responses. Again working with DLD the Advisory Committee assisted in the selection of King Research, Inc. as the best qualified applicant to perform the study proposed.

During the course of the study the Advisory Committee met with representatives of KRI on numerous occasions to advise on the structure, data collection and relations with the library community for which the study has great significance. In all, the 20 member Advisory Committee representing all types of libraries met at least 9 times and held several public meetings inviting comments on the study and its preliminary findings.

It should be emphasized that this is not a study of New York libraries but New York library systems. Therefore, the principal significance of the study is the information it presents to the library systems about their activities which will be useful for self-evaluation. Several major findings and recommendations are provided in the report.

Library systems in New York State should be autonomous, yet flexible enough to accomodate local needs. But at the same time they must be accountable to their user publics.

The study focuses on the need for systems to maintain broadly democratic decision-making processes that involve both lay board members and library professionals.

KRI has contributed the concept of "economies of scale" and suggests cross system contracting for services when economic or other factors show the need for such arrangements. These data will help library systems to be more cost effective and thereby allow the State to achieve greater leverage of its State Aid through funding library systems.

KRI also provides the statistical data, findings and recommendations for an approach to addressing the many issues that face library systems in New York State. In presenting these data the study poses a strong argument for the development of a core set of statistical data that should be maintained for all systems in order to provide the basis for ongoing local evaluation and lay the basis for the next state-wide study.

The Advisory Committee realizes that change is needed and desirable if we wish to exploit opportunities for future development in New York State. However, it will be a challenge to DLD and the library community to work together to exploit these opportunities.

The Advisory Committee recognizes that there is intense interest on the part of the New York State library community in the findings and recommendations of this study. Therefore we urge that it be released for distribution as soon as possible in order to stimulate discussion and further considerations that will be important for setting future directions for library systems in the State of New York.

The Advisory Committee is grateful for the opportunity to serve the Regents, the Division of Library Development and the State and wish to express our deepest appreciation for the support and encouragement of the Committee's work by you, Roberta Cade and especially Judith Levine, the Staff Coordinator for the Study.

Sincerely,

Bob Wedgeworth

Robert Wedgeworth
Dean

/dmr

STUDY OF
LIBRARY SYSTEMS IN NEW YORK STATE

SUMMARY

1.1 BACKGROUND

Library Systems have been an integral part of library service to the citizens of New York State since 1950 when the establishment of Public Library Systems was authorized by Education Law. By 1961 all counties in the State were included in Public Library Systems. In addition to providing services, Public Library Systems are served by one or two Central Libraries which function as the "resource" library for the Public Library System. Central Libraries receive Central Book Aid to develop and add to their collections of adult non-fiction or foreign language materials and Central Library Development Aid which may be used for developing Central Library services. In 1978 Reference and Research Library Resources Systems (RRLRS) were authorized by Education Law, although chartering took place between 1964 and 1967. The RRLRS have a broad mission including providing services to the research community and hospital libraries, supporting higher education, and so on. The RRLRS also serve as agents for coordination of the regional bibliographic database and interlibrary resource sharing grants. A third kind of Library System was authorized in 1984 to serve school libraries, following a pilot test of 12 School Library Systems. The Law specifies a wide range of services to be provided by School Library Systems to school libraries.

Currently 22 Public Library Systems serve 734 public libraries in the State (all but 3 small chartered public libraries). The Reference and Research Library Resources Systems cover nine regions and serve a total of about 750 libraries in public and private colleges and universities, research libraries, and special libraries. They also serve Public Library and School Library Systems, enabling libraries of all types to share resources. A total of 46 School Library Systems serve a total of 3,207 public and non-public schools (at the school building level).

BACKGROUND (cont.)

It has been over 20 years since the last comprehensive Statewide evaluation was done in New York State. The resulting report, Emerging Library Systems, described the progress that had been made up to that time (1967) by Public Library Systems, and 19 areas of need for improvement of the Systems were identified.

Since the last System study was performed, a number of changes have occurred:

- new technology in the library field has made remarkable advances,
- composition of the population in the State is changing in terms of age, national origin, education level, primary language, etc., thereby significantly affecting the information needs and requirements of citizens,
- users of libraries are becoming much more sophisticated in their information-seeking behavior as well as their information needs and requirements,
- Library Systems are now serving the academic, research and special library communities and school libraries, in addition to public libraries,
- many new services have been added to the menu of Library System services provided to libraries in the State,
- new types of Library Systems, experiments into new services and types of libraries served, as well as competition for funds, have created a number of conflicts, "turf battles" and disagreements,
- in some instances the State Legislature has assigned new responsibilities to Library Systems without changing the basic Law defining the Systems and their objectives,
- public expectations for accountability are now higher for most public services, including Library Systems, and
- the economies of library service provision and use have reflected the changes above.

For these reasons, it was considered necessary to re-examine Library Systems in New York State and to:

- describe and analyze the way New York's Library Systems are actually working today,
- compare that to the intent of library laws and regulations and to the needs for library services which consequently affect all State residents, and
- recommend changes and justify such recommendations where changing conditions indicate the need for them.

In particular, five components were specified to be studied:

- **Mission and services**
- **Governance**
- **Intersystem relationships and cooperation**
- **Funding**
- **Measurement.**

We have made a number of recommendations concerning each of the five components above and for State-level responsibility. The recommendations are addressed to several groups of participants in the library community in New York State including:

- New York State Legislators who formulate laws and who establish funding levels for Library Systems
- Regents of the University of the State of New York
- The State Education Department (SED)
- Division of Library Development staff
- Library System directors and staff
- Library System Board members
- Member libraries
- Citizens of New York State.

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We believe that the value of the study extends beyond these recommendations to the development of a philosophical approach to examining Library Systems in New York State. Furthermore, we have provided extensive information and data which can be used by each group of participants above in their deliberations and in making decisions concerning Library Systems and their services in the future.

A complete list of recommendations is given at the end of this Summary. The list is subdivided into the five components above (and State level responsibility) and a code is attached to each recommendation for cross-referencing purposes. Some major recommendations are presented in the discussion below. The remaining recommendations are embedded in the study findings, conclusions and analysis parts of each of six major sections of the Report: Mission and Services, Structure and Intersystem Relationships, Governance, Funding, Measurement and State Level Responsibility. Another section in the Report (Section 2) deals with the study background, analysis methods and examples, and detailed data collection methods. Each section has a part devoted to an in-depth description of the current picture regarding the relevant component. Each section also has a part devoted to findings and conclusions and a part which discusses analysis. Finally, there is a lengthy Appendix C which provides detailed information and data concerning each Library System service. These sections and appendix provide a wealth of information and data that can be used not only to help form independent judgements concerning recommendations, but also as a reference tool that we designed to be used for a long time to come.

1.2 STUDY METHODS

Following extensive input by the Advisory Committee, study requirements and specifications were developed and a competitive contract was awarded to King Research, Inc. ($128,376). The study was performed through the following processes:

- Formal surveys were conducted with all 76 Library Systems (excluding Consolidated Systems*) and Central Libraries, and a sample of member libraries and non-member libraries.
- Interviews were performed with staff of 76 Library Systems, many Central Libraries and Consolidated Systems*.
- Secondary sources of data were analyzed to provide additional evidence. Sources included data supplied to DLD, DLD reports, studies done by King Research for the Federal government and other states, and studies done by others.
- Open meetings were held at Library Systems for Board members, member libraries, trustees, patrons, etc. A few times no one came, but more often 10 to 25 persons attended the meetings.
- Nine regional meetings were held to obtain feedback on a report, "Preliminary Study Findings and Recommendations," that was widely distributed prior to the meetings. These meetings were attended by over 400 persons and we received well over 100 written responses.
- Two workshops were held by King Research to discuss the Library System questionnaire; particularly the cost and quantity sections.
- Meetings were held with various Library System and library directors associations and at NYLA.
- Eight meetings were held with the Study Advisory Committee and meetings were held with ad hoc committees.
- All major DLD staff were interviewed at length at least once.

Thus, the study involved extensive data collection and analysis as well as ample opportunities for everyone in the State to express their concerns, provide suggestions and discuss the project.

The study, in particular, emphasized data gathered and analyzed using statistical methods. The unique aspect of data collection was that information was obtained about each of the 117 services provided by Library Systems including:

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* The New York Public Library, Queens Borough Public Library and Brooklyn Public Library.

- cost, amount of service provided, average cost per unit (Library System and Central Library survey) and
- amount of service received, importance of service, and satisfaction with service provision from each type of System and other providers (member library survey).

These data serve several purposes:

- They provide (1) evidence concerning economies of scale (or return on investment made by the State) achieved by Library Systems, (2) indications of how well Library Systems are performing, (3) data for assessing factors that affect cost, and (4) a means to assess the strengths and weaknesses of Library Systems.
- The data provide Library System directors and Board members with hard evidence concerning the performance of their Systems compared with others.
- The data and methods establish a mechanism for achieving Library System accountability to member libraries and to the State.
- The data provide a basis for decisions on using alternative sources for services, combining resources and/or services among Library Systems, employing new resources such as new technology, revising funding formulas, and so on.

The data are found throughout the report and Appendix C summarizes data by specific service and by type of Library System. For example, average costs and quantities, quartiles of average costs, average satisfaction and importance levels, quartiles of average satisfaction and levels of economies of scale are provided for each Library System to compare their performance with other Systems.

1.3 LIBRARY SYSTEM MISSION AND SERVICES

During the course of the study we identified 117 individual types of services provided by Library Systems in New York State (a comprehensive list of services can be found in Appendix G). These services support libraries and citizens in five ways: enhancement of library services, performance of library operational functions, direct services to users, support of library development, and enhancement of cooperation and communication.

Enhancement of Library Services

Many of the Library System services enhance or complement services that are provided by libraries to their patrons. Such support to libraries is provided for (1) interlibrary lending and borrowing (request processing, verification and location, and fulfillment), (2) interlibrary loan support mechanisms (union list production, retrospective conversion and delivery), (3) access to other shared collections (rotating and pool collections and bookmobiles), and (4) reference, referral and research (manual and online searching of bibliographic and other databases).

These services are said to be very important to libraries of all types and are provided by nearly all Library Systems (the exception being that only PLS provide access to other shared collections). Member libraries can and do provide these services. However, many libraries rely on Library Systems to assist them when requests or patron needs are beyond the libraries' expertise or capabilities. This makes a great deal of sense from both a cost and quality standpoint. The total estimated costs of providing these services is $15.2 million or one-third of all Library Systems' costs of services. These services also account for a large portion of the costs of each type of Library System as well (PLS - 29%; RRLRS - 54%; SLS - 41%). Services in which importance is very high, but satisfaction is rated relatively low include union list/catalog production for PLS; bibliographic verification and location for RRLRS; and online bibliographic searching and union list/catalog production for SLS.

Most of the so-called multitype Library System activities in the State involve interlibrary loan-related services and, as a result, many people tend to think that multitype activity dominates Library System services. Yet considering costs of all services, less than ten percent of all RRLRS costs involve direct ILL-related services to public or school libraries and less than one percent of all PLS and SLS costs involve direct services to other types of libraries.

Performance of Library Operational Functions

In some instances Library Systems act as a centralized facility to perform operational functions normally done in-house by libraries. That is, Library Systems replace the need for libraries to perform the operational functions themselves. Such operational functions range from acquisitions and cataloging to recordkeeping and public relations. These services are provided by Library Systems because centralization can achieve substantial economies, particularly to small libraries.

The total estimated cost for these services is $11.4 million, which is one-fourth of all the Library Systems' costs. Most of these services are furnished by PLS to public libraries. Ninety-two percent of all costs incurred for performing operational functions by all three types of Systems are incurred by PLS (6.7% of these costs are by RRLRS and only 0.9% by SLS).

Funding of PLS to provide these services is well justified because public libraries are publicly funded anyway and the State can achieve financial leverage by funding in this way rather than funding libraries directly. In fact, study results provide evidence that it would cost public libraries several times what it costs Public Library Systems to provide this type of service. About 30 percent of all PLS costs are for this type of service. It is for these reasons that nearly all of the PLS provide these services (exceptions are conservation and preservation services and public relations through radio and television). Generally, public relations are not considered important by PLS member libraries. Over one-half of the RRLRS report that they provide collection development (not considered important or satisfactory), acquisitions and ordering (very important, but not satisfactory), cataloging and catalog production (both important and very satisfactory) and some public relations (neither important nor satisfactory). Most SLS only report doing materials examination (very important and satisfactory) and some public relations. Thus, there is evidence that some of these services should be carefully examined by Library Systems and improved or, perhaps, dropped.

We spent some time considering whether RRLRS and SLS should be more active in performing library operational functions. (About 14% of all RRLRS costs and 2% of all SLS costs relate to these services). We believe that privately funded libraries (e.g., corporate libraries, private universities, etc.) should not have their internal library operations supported by public funds (any more than any other function performed in the company or university). Yet by not being offered these services, small academic, research and special libraries, they cannot receive the potential cost savings achievable through centralized services. They could be achieved if RRLRS were to provide or arrange these services for a fee equal to cost. In this way, the libraries can receive services at substantially lower costs than performing the work themselves and at no additional burden to the taxpayers. Thus, we recommend that **operational services to libraries that are part of for-profit organizations (e.g., company libraries) should be provided for a fee equal to cost (F9).** We believe that the State and local school districts can also gain the benefits of economies of scale by having School Library Systems provide or arrange for performance of library operational services (see Section 1.6 below).

Direct Services to Users

Public Library Systems provide some services directly to citizens including outreach to nursing homes, institutions and others; books by mail (and bookmobiles) for remote or hard-to-reach patrons; employment information for job seekers; and so on. Many public libraries cannot afford such services and/or do not cover areas or populations which need services. They often cannot provide these services as inexpensively as can Public Library Systems because of economies of scale. Finally, some citizens that are outside of any public library chartered area are served by PLS, thus filling gaps in services. The total estimated costs are $4.3 million. Most PLS provide these services, which account for about 12 percent of all PLS costs.

Support of Library Development

Library Systems also support member library development through such services as consultant services (e.g., automation, young adult, audiovisual, etc.), grant preparation and administration, continuing education for staff (e.g., workshops, professional collections, etc.). These are useful to member libraries because they provide support that might not otherwise be available and they end up improving library operations and services. The member libraries consider these services to be important, although continuing education less than the other two. Most Library Systems provide these services, except SLS do not provide grant preparation and administration. The total cost of these services is estimated to be $3.1 million (i.e., 12% of all costs). These services account for a larger proportion of SLS budgets (19%) than the other two types of Library Systems (PLS - 11%; RRLRS - 16%). Satisfaction ratings for these services are generally high, although consultant services provided by PLS are rated low.

Enhancement of Cooperation and Communications

These services include services for enhancement of interlibrary cooperation (e.g., cooperative collection development, direct access to member collections and communication by electronic mail, teleconferencing, etc.) which involve about seven percent of all costs. A large portion of SLS costs are for communications (17%). Most Library Systems are involved in these services (except few RRLRS report direct access to member collections and less than one-half of PLS perform cooperative collection development as such). They also include member library participation (i.e., directors' or librarians' councils, committees representing member libraries, liaison groups, ad hoc questionnaires, etc.) which account for about four percent of all service costs.

These are necessary and useful services to member libraries, although we find it more difficult to demonstrate economies or direct benefits. Cooperative collection development and communications were both rated low in importance and satisfaction by PLS member libraries and RRLRS members rated cooperative collection development low in importance and satisfaction. Consequently, these services should be examined by PLS and particularly RRLRS, since they have been given special responsibilities for these services.

Basic Library System Services

We examined services to decide which should be basic or core Library System services (i.e., which services should be provided by each type of Library System). The selection of basic services was based on the following four criteria:

- Amount of use and importance of service to member libraries.
- Extent of economies of scale achieved by centralizing services.
- Availability of and potential for continued availability of services from alternative sources (e.g., bibliographic utilities, vendors, suppliers, etc.)
- Whether the member libraries are publicly funded institutions.

With these criteria in mind we arrive at the following basic services (with appropriate service codes):

Public Library Systems (PLS)

- ILL request processing (1.1)
- Verifying and locating materials (3)
- Interlibrary loan of materials (2.1, 2.2)
- Reference and referral (4.12.1 - 4.12.4)
- Retrospective conversion (4.7)
- Union list/catalog production (4.9)
- Delivery (4.14.2)
- Circulation control (4.1)
- Acquisitions and ordering (4.4)
- Cataloging (4.6)

Public Library Systems (PLS) (cont.)

- Catalog production (4.8)
- Physical processing (4.10)
- Outreach services (6.1 - 6.12)
- Consultant services (4.16.1 - 4.16.7)
- Grant preparation and administration (10.1 - 10.7)
- Continuing education (5.1 - 5.3)
- Communication services (7.1)
- Direct access to member collections (12.1 - 12.4)
- Computer facilities (8)

Reference and Research Library Resources Systems (RRLRS)

- ILL request processing (1.1)
- Verifying and locating materials (3)
- Reference, referral and research (4.12.1 - 4.12.5)
- Retrospective conversion (4.7)
- Union list/catalog production (4.9)
- Delivery (4.14.2)
- Consultant services (4.16.7 - 4.16.13)
- Continuing education (5.1 - 5.3)
- Communication services (7.1)
- Direct access to member collections (12.1 - 12.4)

School Library Systems (SLS)

- ILL request processing (1.1)
- Verifying and locating materials (3)
- Interlibrary loan of materials (2.1, 2.2)
- Reference and referral (4.12.1 - 4.12.4)
- Retrospective conversion (4.7)
- Union list/catalog production (4.9)
- Delivery (4.14.4, 4.14.5)

School Library Systems (SLS) (cont.)

- Consultant services (4.16.7, 4.16.10 - 4.16.12)
- Continuing education (5.1 - 5.4)
- Communication services (7.1)
- Cooperative collection development (4.3)
- Direct access to member collections (12.1 - 12.4)

We believe that School Library Systems should be providing (or arranging) many of the library operational functions now being performed for public libraries by PLS (including computer facilities). However, further evidence needs to be gathered to determine which of these services should be provided, how much and how they should be funded (see Section 1.6).

Presenting these suggested basic services does not imply that other services should not be provided, but that the basic services should be emphasized, and, at minimum, provided by the appropriate Library System to their members.

1.4 INTERSYSTEM RELATIONSHIPS AND COOPERATION

One of the most difficult and controversial aspects of the study concerns the structure of Library Systems in New York State. In particular we addressed the questions of:

- What types of Library Systems should there be?
- How many Library Systems should there be?
- Whom should the Library Systems serve?

In order to answer these questions we kept four basic criteria in mind:

- Optimum service performance (e.g., productivity, quality, timeliness, etc.) should be guaranteed.
- Economies of scale should be achieved.

- Coordination and cooperation among types of libraries should be enhanced.
- The structure must be workable, both operationally and politically.

The most complicating factor regarding the three basic questions above is that there are over 100 services currently being provided by Library Systems in New York State. One could conceivably have over 100 "ideal" Library System structures: one for each service. To overcome this complication we tried to arrive at a structure which accommodates most of the services, at least most of the basic services. We recognize that there must be exceptions and, therefore, recommend that **Laws and regulations governing Library Systems should be flexible enough to recognize and accommodate appropriate service configuration, resources and other differences among Systems (ST3).** With this caveat and recommendation in mind we provide the following solutions to the questions above.

There are basically three dimensions to the structure of Library Systems:

- **type of services provided such as interlibrary loan processing; reference, referral and research services; operational support services such as acquisitions, cataloging, etc.; and so on;**
- **type of library served such as public, academic, research, special, school, institutional, and so on; and**
- **geographic area served such as local (e.g., county), regional and state-wide.**

We examined an array of combinations of these three dimensions to arrive at our judgement of the best type of System structure to have in the State.

Currently the Library System structure is that:

- Public Library Systems (PLS) provide nearly all System services used by public libraries. PLS serve one or more counties.

- Reference and Research Library Resources Systems (RRLRS) provide nearly all System services used by academic, research and special libraries, a few public libraries and Public and School Library Systems within nine designated geographic regions.
- School Library Systems (SLS) provide nearly all System services used by school libraries within Boards of Cooperative Educational Services (BOCES) or Big City School District geographic boundaries.

We examined the possibility of structuring the Library Systems by a total multitype structure in which each System would serve all types of libraries for certain services and/or specified geographic areas. In such a structure there would be about 20 to 30 "local" multitype Library Systems which would provide a broad range of services, but not all of them. Some services such as coordination of retrospective conversion, union list/catalog production and interlibrary loan protocols, etc.; some consulting; and some continuing education would be done at a broader, regional level. All SLS services would be folded into current PLS and/or RRLRS, and regional services would be done by a "designated" local multitype system.

While such a structure is appealing in many ways, we believe that a total multitype system does not meet the four criteria mentioned above as well as a more library-type specific structure does. Generally, each type of library has very specific information needs and requirements that are best met by a Library System that has developed special expertise and competencies (i.e., knowledge and skills) to meet these needs and requirements. Needs and requirements for cataloging, retrospective conversion, acquisitions, reference, referral and research, as a few examples, are quite unique for different types of libraries. Thus, System performance is enhanced by focusing services on the specific needs and requirements of the different types of libraries.

Generally, member libraries consider the services provided by the current three types of Systems to be very important to them. The user libraries are also basically satisfied with the performance of services.

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Furthermore, even if the structure changed to total multitype, we do not foresee the likelihood that the current predominance of library-type service provision will change. That is, there is little evidence in New York State or elsewhere that the amount of interlibrary lending will not continue to be dominated by transactions within common types of libraries (i.e., public to public, school to school, etc.). The same holds true for reference, referral and research services as well as for most other services. Finally, Library Systems provide very important services to each type of library in the State and service to one type should not overshadow services to the other types. For these reasons we recommend that **there should be three types of Library Systems:**

- **Public Library Systems (PLS) serving public libraries**
- **Reference and Research Library Resources Systems (RRLRS) serving academic, research and special libraries**
- **School Library Systems (SLS) serving school libraries. (ST1)**

Some libraries, such as those found in correctional institutions, do not fit well into the three types of Library Systems. A determination of which System should serve these libraries (or of which System they should be a member) should be based on their patron needs and requirements and the types of materials, services and supporting expertise required.

We emphasize that not all Library Systems are achieving desirable levels of economies of scale for some services. We have tried to provide guidance and data for Library Systems to examine their services and decide whether or not they are operating at a sufficient level of volume (for economies of scale) or performing with adequate efficiency. If they are not, they should seek alternative methods for providing services to their members. Thus, we recommend that **Library Systems should provide their members with access to the most cost-effective services possible, by either acting as service providers or by arranging or contracting with other providers as appropriate (ST4).** Other appropriate providers could be other Library Systems (like-type or otherwise), libraries, vendors, and so on. Library Systems have already begun to make such arrangements, but clearly should do more of this in the future.

There are clear benefits to be obtained by libraries sharing their resources beyond their own type of library, including collections, equipment and systems, staff with special competencies, facilities, etc. In order to receive these benefits, it is important that coordination and cooperation among libraries (and types of libraries) be enhanced. We have recommended a mechanism for coordination and cooperation through broad representation of all types of libraries. Furthermore, we highly recommend and stress throughout the report the necessity for making formal arrangements (and even contracts) for having the strongest Library System or other organization in an area or region provide services, even across different types of libraries, when this is the most cost-effective means of doing so. In this way we believe the advantages of both multitype and library-specific type of Systems can be achieved.

Part of the ability of Library Systems to serve their member libraries well stems from cooperative efforts among libraries. In particular, access to collections and other materials, reference, referral and research services, and other shared resources are enhanced by Library System efforts. Such sharing of resources is likely to increase to some degree in the future. Furthermore, Library Systems are able to provide consultation, continuing education and other services to libraries of all types. We strongly endorse such cooperative efforts among the different types of libraries and Library Systems.

Currently, coordination and cooperation across library types is largely being done through RRLRS and their Boards in most regions. The RRLRS Boards mostly consist of academic librarians, special librarians, PLS (and some SLS) directors and lay persons. We believe that such representation is not broad enough for coordination and cooperation among all the diverse types of libraries in the State. Some services require direct cooperation among libraries of various types (e.g., library-to-library interlibrary lending) and libraries of all types are recipients of mutlitype library services provided by Library Systems. Thus, we contend that libraries of all types must participate in the formulation of cooperative efforts. Even though Library Systems coordinate and arrange for cooperative efforts (in addition to providing multitype services), we believe they should not be the dominant type of participant in cooperative efforts. For these reasons, we recommend that **coordination of services and cooperation among types of Library Systems and their members should take place through Intersystem Cooperative Networks (ICONs) consisting of representatives of member libraries and Library Systems from each of the three types of Library Systems in each region. The ICONs should elect a Coordinating Agent every three years. The Coordinating Agent will be responsible for coordinating the development of a three-year cooperative service plan and administering cooperative programs and services (ST5).** We further recommend that **representation in Intersystem Cooperative Networks (ICON) should consist of at least one Library System director and one member library director from each type of Library System (G10).**

Each region varies in composition of number of Library Systems and member libraries. Thus, we think that each region should develop its own structure for representation in ICON. However, regardless of the composition of representatives in ICON, formal voting should be weighted such that each of the three types of Library Systems and each of the three types of member libraries be given equal votes.

One particular difficulty and source of antagonism in the past has been the assignment of responsibility to RRLRS for distributing regional automation funds. We recommend that this problem be addressed by not assigning responsibility to one Library System for determining how funds should be distributed among Library Systems. Rather, we recommend that **the responsibility of determining how funds for any program should be disbursed among Library Systems should not be given to any one Library System. Rather, the division of funds should be made on the basis of pre-determined formulas, or should be determined by New York State (F7).**

Another important issue in coordination deals with Central Libraries and their provision of Library System services. We present and discuss evidence concerning the extent of use of collections funded by Central Book Aid and interlibrary loan and reference services provided through Central Library Development Aid. While the evidence is inconclusive because of the "softness" of these particular data collected from Central Libraries, we recommend that **interlibrary loan request processing and reference, referral and research services provided to public libraries and their patrons should be the responsibility of Public Library Systems. PLS should arrange with Central Libraries to provide these services, if cost effective to do so. Central Library directors should report to PLS directors regarding provision of these services (G9).** Contracts to provide these services should be made between Central Libraries and Public Library Systems. Central Libraries should be paid by PLS for all direct costs incurred, just as any other service provider. Thus, the Central Library director should report to the PLS director and provide annual statistics concerning quantities and costs of services provided to both "local" and "non-local" patrons in the same way any contractor would.

1.5 GOVERNANCE OF LIBRARY SYSTEMS

One area of weakness of Library Systems in New York State deals with accountability to member libraries and to the State. Relevant accountability at the local level places an extremely strong emphasis and responsibility on Library System Boards to ensure Library Systems are operating efficiently and cost-effectively. In order to enhance Board participation and achieve local accountability we recommend that **member library directors should be allowed to serve on Library System Boards. Boards should also include lay persons. Persons with special expertise such as finance, law, etc. should be sought to serve in addition to member library directors, patrons, and library trustees (G1)** and that **members of Library System Boards/Councils should be trained to understand economic issues and statistical methods concerning Library System operations and services (G2).**

School Library Systems have a particularly difficult situation in that they report to (1) BOCES or Big City School Districts (BCSD), (2) their Councils, (3) Bureau of School Library Media Programs and (4) Division of Library Development (the latter two in the State Education Department). SLS directors are ambivalent about their relationship with BOCES (and BCSD) because they receive many useful services (e.g., delivery, facilities, reproduction, etc.) and benefits, but they are often treated poorly in this environment in terms of their subordinate role. On balance we recommend that **SLS should remain within BOCES and Big City School Districts. The Law should specify that there is a special relationship between SLS and BOCES (G5).** The Library System directors should not be considered merely other BOCES employees. Rather, the SLS directors should at minimum be given authority and responsibility for budgets and be able to fully respond to needs and requirements of their members (and Councils).

1.6 LIBRARY SYSTEM FUNDING

A few participants suggested in open meetings and surveys that the State distribute funds directly to member libraries, to either use as they see fit or to pay Library Systems for services they want. We believe that such a policy would not provide the best overall services to citizens in the State. The advantage of having Library Systems provide these services is the economy of scale that can be achieved, particularly for small libraries. Economies of scale mean that services are provided more economically as the volume of service increases. We found in the study that economies of scale do in fact exist for most services. However, there is a point in volume (or size) above which the cost per unit of service provided decreases very little. We refer to that point as the "critical mass." It is generally desirable for Library Systems to operate at or above the critical mass although this may not always be possible. On the other hand, there is some evidence from the study of diseconomies of scale, in that if the Systems get very large, the average costs begin to rise slightly because of overhead and administrative costs.

If small libraries were given funds by the State to perform the services themselves it would cost the State at least 3.5 times more than it does by having the Systems provide the services. However, in order for Library Systems to accomplish these economies it is often necessary for them to serve large member libraries as well so that they reach the critical mass. (There are other advantages as well such as volume discounts.) One significant aspect of these arrangements is that the large member libraries could do the work nearly as inexpensively as the Library Systems, because they are also operating at or above the critical mass. Consequently, they must rely on the Library Systems to provide services with satisfactory performance (i.e., economically and with sufficient quality, timeliness, etc.), which is not always the case. Alternatively, they could function as the service providers.

There is ample evidence from the study that funding has not been adequate to meet all necessary services. Public Library Systems and RRLRS are not providing some services to all member libraries that could use them (e.g., to achieve economies of scale) and School Library Systems are not providing some services (that they should be providing) to any libraries. It is difficult to determine exactly how much additional funding would be required to provide all of the services that are necessary in the State. However, in our judgement we feel that SLS are the most underfunded type of Library System. SLS are not funded at a sufficient level to provide the services they are mandated to perform and they could perform many library operational functions for school libraries with the potential of substantial savings. Furthermore, underfunding of SLS is the most straight-forward to remedy. The PLS appear to be the next most underfunded and RRLRS least underfunded.

It would be relatively simple to determine the costs of current library operational functions in school libraries and then establish the savings that might be achieved by centralizing these services in SLS. Having the SLS in BOCES may facilitate such operational services since one of the objectives of BOCES as we understand them is to achieve economies of scale through cooperatively purchased materials and shared services. Since we did not obtain data on the extent of school library operational functions we cannot determine how much can be saved by centralizing them. Some study should be initiated to determine this. Thus, we recommend that **the DLD and BSLMP should determine which school library functions can be performed less expensively by (or through) SLS. This should be done with a pilot test of one or more SLS. Furthermore, SLS should actively promote these services and seek ways of providing them through State Aid funds (F2).**

We believe that funding formulas should reflect the actual costs of services. We found four factors that appear to be particularly relevant to cost of services:

- size of population served (i.e., citizens, students, faculty, professionals, etc.),
- geographic area served,
- number of member libraries served, and
- size of member libraries.

Current funding formulas (using population and area) do not adequately represent the actual costs of services affected by population and area. Furthermore, the formulas do not include number of member libraries at all. Secondly, fixed amounts of aid allocated to each RRLRS and SLS appear to account for too high a proportion of funds. Finally, there is evidence that the average cost (per unit and per capita) of some PLS services is higher in lightly populated areas (e.g., under 300,000 persons) and lower in highly populated areas. We were unable to arrive at specific suggestions concerning funding formulas as part of the study. However, we recommend that **DLD should examine funding formulas to establish funding factors more clearly related to actual costs of services. This can be done if Library Systems provide cost and quantity data by service (F6).** Detailed data are provided in Appendix C for such an analysis. Average costs per unit can be related to levels of population (or geographic area or density) and average costs per capita can be related to levels of population to determine if a clear relationship exists for groups of services. If such relationships exist, the results could be used for funding formulas.

1.7 MEASUREMENT

The diversity of library communities served in the State suggests that type, level and amount of services should vary among communities. In order to best serve "local" communities, there are strong and compelling arguments that Library Systems should have the flexibility to choose which services to provide (beyond basic services), how much they should furnish and how they should be provided. To some considerable degree, Library Systems have been given a great deal of autonomy in their service provision. However, there has never been sufficient accountability to the State or to member libraries concerning local Library System decision-making. Furthermore, there have not been Statewide evaluations to determine whether or not Library Systems are providing cost-effective or high quality services. We believe that, if Library Systems are to be given substantial flexibility, they must also be able to demonstrate that they are serving member libraries well. While evidence from the study suggests that most member libraries are well served, there is also evidence of problems. It is not at all clear that Library System directors are aware of these problems, nor that they use existing management tools to detect, diagnose and resolve such problems.

In the course of the study we asked Library Systems to provide data on the quantities and costs of each service they provide. Few were able to do so without great difficulty, and some never did provide both types of data. These data are basic to operation and service decision-making. Furthermore, if because of economic conditions the State implements strict accountability measures, such data collection and reporting will become routine for monitoring purposes. We believe that with the tight economic climate in the State, such monitoring might well take place in the near future.

DLD and Library Systems have a unique opportunity in the current economic environment. First of all Library Systems services are among the few services provided under State funding that can clearly demonstrate actual savings. This study provides such evidence. The library community can show that State funding for these services yields tremendous leverage. Furthermore, such data should result in further substantial improvements in the cost-effectiveness of Library System operations and services.

The DLD has an opportunity to demonstrate leadership in the State by taking the initiative in developing thorough accountability mechanisms while helping Library Systems add to their management tools. Also, by being so prepared, the DLD will avoid being told by State non-library budgeting staff what kinds of data need to be collected. Finally, New York State has been a pioneer among the states in its commitment to the Library System concept. This is an opportunity to do so again.

It will take a great deal of discipline by DLD, Library System directors and Board members, and member libraries to implement a useful and workable accountability mechanism and system of measures. We have made a number of recommendations for achieving this end, including implementing a system of measures that can be used at local and State levels. In this study we have attempted to demonstrate the kinds of data that are needed and methods for collecting them. We also showed a number of ways such data can be employed for rational economic decision-making at local levels as well as Statewide. There is every reason to believe that Library Systems and their members will benefit substantially from having this information.

1.8 STATE-LEVEL RESPONSIBILITY

There are some in the library community who have expressed concern with the ability of the Division of Library Development to carry out its leadership role. We believe that DLD does a good job with limited resources and staff in an environment where many do not want to be led. On the other hand there are some areas of potential improvement. For example, the DLD and the library community have not been as convincing and persuasive with Regents and the State Legislature as they might be. Library Systems have a powerful argument for their services, but it needs to be persuasively made. Thus, we recommend that **renewed effort should be made to educate SED, legislators, school administrators and faculty, and the non-school library community on the importance of libraries to lifelong learning in school settings, academic institutions, communities and work places (SL3)** and that **the DLD and library community should present the Regents and State Legislature with periodic evidence of savings achieved by Library Systems, that there are not better alternatives and that necessary gaps in services are being filled by them (SL4).**

There is indication that some Laws and Regulations are not fully carried out such as in updating plans of service, provision of free direct access to residents, PLS provision of union catalogs, and so on. Thus, we suggest that **the DLD should exert more control in ensuring that Laws and Regulations are fully implemented (SL8).**

The Library Systems need to be more accountable to the State regarding performance of their operations and services. Library Systems should annually provide data on cost and output quantities of services and they should report member library survey results every three years. We recommend that **DLD should develop standards for Library System performance in the next two years (SL9)** and **there should be more technical assistance, interaction, facilitation, leadership and guidance from DLD. This will facilitate establishing accountability of Library Systems (SL10).** However, in order to fully achieve the benefits of such reporting the **DLD should streamline and automate paperwork (SL11).** Finally, we strongly recommend that **DLD should budget and be funded for achieving recommended State-level responsibilities (SL13).**

1.9 MAJOR CONCLUSIONS CONCERNING LIBRARY SYSTEMS IN NEW YORK STATE

The Role of Library Systems in New York State

Library Systems have two particularly important roles to play in supporting library service in the State. First, they must provide (or arrange for) services which are better (e.g., in terms of quality and timeliness) and/or less expensive than any other alternative. Second, each Library System should identify gaps in service provision and then facilitate the development and provision of services in these areas.

There has been a long tradition of cooperation and resource sharing in the library community and New York State is widely recognized as having pioneered in this area. There are few institutions in Society that have shown the ingenuity and generosity in sharing their resources that libraries have. Library Systems in New York State have been the vehicle

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through which libraries of all types and sizes can provide their patrons with services which would otherwise be far beyond their means.

This study clearly demonstrates that Library Systems provide services at a lesser cost than would be incurred by individual libraries, if they were required to provide the services themselves. We show in this study that, if there were no Library Systems in New York, it would cost member libraries at least 3.5 times more than it now costs to provide the services currently offered by the Library Systems in the State. Furthermore, many small libraries would not receive services and many library services simply would not be provided by some libraries at all. This study shows that Library Systems enable member libraries to provide more and/or better services to larger segments of their communities than otherwise possible, and to do so to at significantly lower costs; thus, making overall library service in the State much more cost-effective.

Performance of Library Systems

In this study we emphasize the need to build on the existing strengths of libraries and Library Systems to provide the most cost-effective services possible. This implies balancing the cost and the performance (e.g., productivity, quality, timeliness, etc.) of Systems. Indicators of performance were observed through a survey of member libraries. The survey determined member library satisfaction with the performance of services provided to them by Library Systems and others. The importance of services to member libraries was also observed. We estimated the amount of each service provided, the total cost of each service and, from these, the average cost (per transaction) of services.

There are many positive aspects to current service provision and resource sharing in New York State. However, there are serious problems with some Library Systems. For example, evidence from the study suggests that average costs of services are too high for:

- 2 of 16 PLS*
- 2 of 8 RRLRS*
- 6 of 39 SLS*

Average satisfaction ratings are too low (indicating negative perceptions of member libraries about quality, timeliness of services, etc.) for:

- 4 of 21 PLS
- 1 of 9 RRLRS
- 5 of 43 SLS**

Furthermore:

- many member libraries indicate that they are ignored by Library Systems in decision-making about services provided to them,
- many member libraries indicate a need for alternative services or services provided in a different way, and
- some duplication of services has occurred.

Study evidence and the resulting recommendations offer guidelines to further improve Library System performance and effectiveness. With help from the recommendations in this Report, Library Systems can take advantage of new kinds of information materials, technology, and management tools to provide the library services needed by a changing population in New York State.

Economies of Scale of Library Systems

As a result of economies of scale, Library Systems can perform work or provide services less expensively than most libraries can doing the work themselves. Such economies of scale are achieved because:

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* Not all Library Systems reported both costs and output quantities.

** Three SLS were not represented by samples of member libraries due to non-response coupled with sparse sampling for individual SLS.

- high cost of some resources such as special collections, staff, systems, equipment, and facilities are shared among member libraries;
- some operations such as cataloging and interloan can be performed less expensively in large quantities than in small quantities;
- some staff competencies such as subject expertise in online searching; knowledge of outreach applications, library automation, library legislation, etc., can be used optimally across member libraries; and
- some products and services can be purchased less expensively because of volume discounts.

There are two implications of these economies of scale. The first is that Library Systems with low volumes of activity are often found to cost more than those with high volumes of activity. These Library Systems should seek to share resources across Systems, types of libraries or regions, as is currently done for some services. Second, the savings achieved by Library Systems are usually relatively greater for small member libraries than for large member libraries. Thus, the value of Library Systems is relatively higher for small libraries than for large libraries.

In order to obtain economies of scale some Library Systems must provide services to large member libraries even though the large libraries may be operating at a volume above the critical mass. In order for small libraries to gain substantial economic and other benefits, some large libraries must give up performing the work themselves in order to further the common good.

In some instances, the critical mass is not achieved by Library Systems in New York State because computer systems, printing equipment, collections and so on are not being used enough (let alone near their capacity). If Library Systems are not operating above the critical mass for some services, we suggest that they consider consolidating services with other Library Systems in their region (e.g., as is being done in

Metro) or even with a Library System in another region (e.g., as is being done with film collections with Public Library Systems across the South Central and Southeastern regions).

For some services it is possible that a critical mass can only be accomplished at a statewide level or higher. Furthermore, there are some services for which the critical mass will never be achieved because of their inherent low demand, although this does not mean that these services should not be provided by the Library Systems.

Gaps in Services and Funding

While Library Systems are achieving benefits of economies of scale and have filled gaps in services not being provided by member libraries or others, further improvements can be obtained but only through additional funding. In particular, we believe that the cost to funders of school library operations and services could be substantially reduced by having School Library Systems perform (or arrange for) these functions. School Library Systems have never been funded at a level sufficient for them to provide the services required under Law or necessary to achieve their potential. Also, there is evidence that both PLS and RRLRS could provide their services to more member libraries, thereby accomplishing further savings to funders. PLS and RRLRS have been required to cut services back in recent years because of the loss in funding level due to inflation.

Balancing Local Autonomy and Accountability

We established that a certain degree of autonomy and flexibility is necessary for Library Systems to be able to provide optimum services. However, in order to do this Systems must have appropriate and valid data about their operations and services. Average cost data and data about System performance were obtained in the study to provide rational economic evidence for future decision-making by Library Systems regarding services and service provision. Comparative data among Library Systems are provided for this purpose.

In order to earn the right to local autonomy, Library Systems must also demonstrate accountability to their members and to the State. The results of the study suggest that many Library Systems too often ignore accountability to their members and we have recommended some steps to move them in the right direction. We also believe that Library Systems in general have not been sufficiently accountable to the State. We have provided recommendations concerning measures and procedures for improving such accountability.

The Need for Continued Cooperation

Our recommendations in this document deal primarily with serious problems that were observed during the course of the study. The fact that Library Systems in the State are generally far more developed than elsewhere has influenced our recommendations. Our general approach to the study has been to identify and build upon strengths in current Systems and library resources such as collections, leadership and staff, equipment, automated systems, facilities and so on. During the study we identified well over 100 distinct services provided by the Library Systems. We investigated the importance of these services, the cost of providing them, and how well they are received by their users. From this analysis, coupled with many sound suggestions from the library community in the State, we have tried to establish and recommend a system structure which can best take advantage of and build upon the existing strengths of libraries and Library Systems. The recommended structure balances (1) the requirement for each type of Library System to provide the best services possible to its members and (2) the need to have uninhibited cooperation among various types of libraries and Library Systems. We believe that these two objectives can be best met by having each of the three types of Systems focus their efforts on the important services required by their members, and by accomplishing "multitype" cooperation among libraries through coordination among member libraries of all principal types and the three types of Library Systems. Recommendations concerning this structure were discussed in Section 1.4.

New York State is extremely rich in its information resources. Surely there are only a few countries that could match the library resources that are found in the State. However, there is abundant evidence that some changes need to be made in order to optimize service provision. Study results provide evidence that some Library Systems provide services that cost more than they should, and member libraries are not satisfied with some services. Furthermore, and perhaps much more disturbing, are serious conflicts and outright animosity among the three types of Library Systems. By their very nature, library cooperation and resource sharing will generate disagreements. However, current conflicts among Library Systems have the potential of being counter-productive and could inhibit service. When Library Systems were formed, it was necessary for many in the library community to compromise and share their wealth of resources for the good of the whole. For Library Systems in New York State to succeed in the future, the same degree of ingenuity, compromise and generosity must continue to prevail.

This study leaves little doubt about the use, usefulness and value of Library Systems in New York State. With some refocussing of priorities, flexibility to meet new challenges, the vision to recognize and seize new opportunities, and continued cooperation Library Systems can enhance their valuable service to the library community and to the changing population of New York State at least through the next decade.

MAJOR RECOMMENDATIONS

RECOMMENDATIONS CONCERNING LIBRARY SYSTEM SERVICES

S1. All Library Systems should develop new plans of services every five years. It is important that the planning be more participatory than it sometimes has been in the past. The process should involve all System members. The planning process should include reassessment of mission, goals, objectives and priorities to meet changing needs. Strategies for meeting the objectives should be developed.

S2. Library Systems should re-examine their strengths and the strengths of their members to determine the best provider for each service. Unique or comprehensive resources should be offered through cooperative arrangements, perhaps under contract, to member libraries of other Systems.

S3. The protocol for interlibrary loan request processing should be as follows:

- point-to-point requesting and fulfillment should be the first choice of borrowing libraries (assuming their access to a bibliographic database online or offline),
- difficult to locate requests should be submitted by member libraries to their Library System for (1) processing, (2) verification (if needed), (3) subject search (if needed), (4) location, and (5) referral or fulfillment,
- difficult to locate requests should immediately be referred to other Systems or elsewhere according to known strengths.

S4. The protocol for interlibrary loan request fulfillment (once located) should be as follows:

- point-to-point as indicated above,
- Library System fulfillment when appropriate,
- Library Systems to libraries within system, to like-type libraries elsewhere, NYSILL or elsewhere according to known strengths.

S5. Interlibrary loan request processing for PLS should be done by Central Libraries when most cost-effective to do so.

S6. Central Libraries generally must improve their staff capabilities for interlibrary loan processing, and reference, referral and research.

S7. Existing interlibrary loan networks and utilities such as RLIN, SUNY OCLC and DRANET should continue to be used, if they are cost effective and achieve equal or better quality and timeliness.

S8. Retrospective conversion should be done by a Library System only if the number of titles processed annually is more than the "critical mass." Otherwise arrangements should be made to contract with another Library System or vendor to do the work at a lower cost per title.

S9. Each region should have a comprehensive union list of holdings of all libraries (of all types) in the region.

S10. The union lists should be distributed online or on CD-ROM depending on the cost effectiveness in each region (dictated in part by communication costs). All Library Systems and Central Libraries should have access to appropriate systems (i.e., online or CD-ROM).

S11. Ultimately there should be a Statewide union listing of holdings which is directly accessible by all libraries through online or in-library CD-ROM. (Centralized access online will be cost-effective only when the Technology Network Ties (TNT) communication network or other state-wide network is in place.)

S12. BOCES, Big City School District and other current arrangements for delivery for SLS should continue, unless more cost-effective alternatives are identified.

S13. Local and regional delivery services within each region should be examined by libraries and Library Systems and cost-effective cooperative delivery arranged.

S14. The rotating collection services of PLS should be evaluated and a maximum allowable cost per item circulated to patrons established by DLD. (The data provided in the Library System survey should not be used because these particular data appear erratic.) The determination of cost per item circulated and maximum values should be established. Collections operating over the maximum level should be discontinued, partially weeded to reduce costs or turned over to another organization in the region.

S15. The SLS should examine the possibility of providing small rotating collections for certain courses, but only if they can be scheduled and are found to be cost-effective.

S16. PLS pool collections should be evaluated to determine the extent of use of items and their cost per loan. Maximum costs (including storage) per item loaned should be established to weed items, classes of items (by age, subject, etc.) or the entire collection.

S17. DLD should set a maximum cost per item circulated by bookmobile (i.e., 50% above median cost). PLS exceeding that amount should take steps to reduce average cost (e.g., reduce area covered, reduce number of trips, investigate needs, publicize service, etc.) or eliminate the service for an alternative or less expensive means of serving the otherwise unserved population.

S18. Central Libraries should provide reference, referral and research services for public libraries, if cost-effective to do so.

S19. Central Libraries must strengthen their staff, reference collections and reference online and CD-ROM systems to provide better services than now being provided by many of them. If there is sufficient evidence this is not done, the responsible PLS should seek alternative source(s) for the service.

S20. A referral service listing of unusual or very costly reference materials, staff subject expertise and online database (or vendor) availability should be developed within each region. The listing should be incorporated in the union list of holdings and, thus, provided by the same medium.

S21. Library Systems should provide reference, referral and research service to each of their member libraries. However, difficult searches should be referred. The decision concerning where to refer requests will be made on the basis of the union list and one's knowledge of special resources.

S22. Protocols for referral of requests for reference, referral and research services should be as follows:

- o PLS member libraries. Do search themselves, refer to Central Libraries, refer to other sources according to known strengths.
- o RRLRS member libraries. Do search themselves, refer to RRLRS, refer to other sources according to known strengths.
- o SLS member libraries. Do search themselves, refer to SLS, refer to Central Libraries, refer to other sources according to known strengths.

S23. Direct services to users should be reviewed, particularly with regard to the cost per person served. DLD should set a maximum level, over which alternative methods of providing service should be sought.

S24. All consulting, continuing education workshops and grant support services should be reviewed every three years to determine which cooperative services should be provided and which organizations should provide the services.

S25. SLS and Central Libraries in particular should coordinate collection development of material to support curricula and reference services (for students and teachers).

S26. Library System directors and boards should compare average costs of all services against State norms (e.g., quartiles of average costs). The following criteria are unacceptable:

- over 75 percent of services have average costs above the median,
- over 25 percent of services have average costs in the high-cost quartile, or
- over 67 percent of total budget involves services with costs above the median.

If any one is not met, the Library System director must present a plan to the Board for lowering costs. Actions that might be taken by the Board include:

- modify service provision,
- assign or contract service to another organization,
- merge some services (or the Library System) with another Library System, etc.,
- replace Library System director, if evidence warrants such an action.

S27. Every service with average costs more than 50 percent above the high-cost quartile bound should be reviewed and justified or a plan set forth for lowering to at least below the high-cost quartile bound.

S28. If less than 20 percent of the total cost of a specific service provided by a Library System is provided to libraries that have fewer requests (i.e., numbers of transactions) than the "critical mass," the service should be assigned or discontinued by the Library System. An equivalent amount of services should be provided to member libraries, or the service to small libraries can be contracted elsewhere, or the Library System should provide a "grant" to member libraries to provide the service themselves.

S29. Basic Library System services should be designated by DLD. These services should be those that show a clear evidence of economies of scale, other favorable cost effectiveness or that must be provided because no other satisfactory alternative sources are available.

S30. DLD should initiate a project to design a common statistical recordkeeping system which (like the common command set) could be used as a base set by all Library Systems.

RECOMMENDATIONS CONCERNING STRUCTURE AND INTERSYSTEM RELATIONSHIPS

ST1. There should be three types of Library Systems:

- Public Library Systems (PLS) serving public libraries
- Reference and Research Library Resources Systems (RRLRS) serving academic, research and special libraries
- School Library Systems (SLS) serving school libraries

ST2. Libraries should be members of only their own primary type of Library System. Membership in a Library System should be based on minimum requirements set forth by DLD. Member libraries may receive services directly through Library Systems (of any type) to which they do not belong. However, initial arrangements (or contracts) for such services must be coordinated with their primary Library System. A library should not use a service from another library or Library System, if the member library's own primary Library System routinely provides the service.

ST3. Laws and regulations governing Library Systems should be flexible enough to recognize and accommodate appropriate service configuration, resources and other differences among Systems.

ST4. Library Systems should provide their members with access to the most cost-effective services possible, by either acting as service providers or by arranging or contracting with other providers as appropriate.

ST5. Coordination of services and cooperation among types of Library Systems and their members should take place through Intersystem Cooperative Networks (ICONs) consisting of representatives of member libraries and Library Systems from each of the three types of Library Systems in each region.

RECOMMENDATIONS CONCERNING STRUCTURE AND INTERSYSTEM RELATIONSHIPS (cont.)

The ICONs should elect a Coordinating Agent every three years. The Coordinating Agent will be responsible for coordinating the development of a three-year cooperative service plan and administering cooperative programs and services.

ST6. Union list production should be done by an organization(s) determined by the Intersystem Cooperative Network (ICON).

ST7. A region-wide referral service listing should be prepared by an organization determined by the Intersystem Cooperative Network (ICON).

RECOMMENDATIONS CONCERNING GOVERNANCE OF LIBRARY SYSTEMS

G1 Member library directors should be allowed to serve on Library System Boards. Boards should also include lay persons. Persons with special expertise such as finance, law, etc. should be sought to serve in addition to member library directors, patrons, and library trustees.

G2 Members of Library System Boards/Councils should be trained to understand economic issues and statistical methods concerning Library System operations and services.

G3 The Library System director should be an ex-officio (non-voting) member of the Board.

G4 Each Library System should have a Directors' Advisory Council which includes the directors of each member library.

G5 SLS should remain within BOCES and Big City School Districts. The Law should specify that there is a special relationship between SLS and BOCES.

G6 DLD, Bureau of School Library Media Programs (BSLMP) and SLS should provide guidance to BOCES and Big City School District administrators and boards to develop a clearer understanding of the BOCES and SLS relationship and the role of SLS in the education process.

G7 SLS should be given fiscal responsibility for their budgets. SLS funds should be dedicated for school library services.

G8 SLS staff should not be required to do BOCES related work except under contract to be approved by DLD.

G9 Interlibrary loan request processing and reference, referral and research services provided to public libraries and their patrons should be the responsibility of Public Library Systems. PLS should arrange with Central Libraries to provide these services, if cost effective to do so. Central Library directors should report to PLS directors regarding provision of these services.

G10 Representation in Intersystem Cooperative Networks (ICON) should consist of at least one Library System director and one member library director from each type of Library System.

RECOMMENDATIONS CONCERNING FUNDING

F1 Library Systems should continually explore the most cost effective mechanisms to provide services themselves or through other means.

F2 The DLD and BSLMP should determine which school library functions can be performed less expensively by (or through) SLS. This should be done with a pilot test of one or more SLS. Furthermore, SLS should actively promote these services and seek ways of providing them through State Aid funds.

F3 All State and Federal funds should be made available to the Systems in a timely manner; no System should have to secure a loan to cover payroll and other expenses.

F4 Basic Library System services (i.e., ILL and reference request processing, services in which economies of scale are clearly achieved, and services which cannot be done by member libraries) should have inflation factors built into budgets.

F5 Categorical funding should continue to be made available for special programs designed to fill service gaps identified by the Library Systems or the State. However, such funds should not substitute for or de-emphasize funds received for basic services.

F6 DLD should examine funding formulas to establish funding factors more clearly related to actual costs of services. This can be done if Library Systems provide cost and quantity data by service.

F7 The responsibility of determining how funds for any program should be disbursed among Library Systems should not be given to any one Library System. Rather, the division of funds should be made on the basis of pre-determined formulas, or should be determined by New York State.

F8 Some services should be provided to all member libraries without charge. Such services are those which do not substitute for the services that might be done in-house by a library. Examples include interlibrary borrowing, referral, continuing education, etc.

F9 Operational services to libraries that are part of for-profit organizations (e.g., company libraries) should be provided for a fee equal to cost.

RECOMMENDATIONS CONCERNING FUNDING: (cont.)

F10 Central Libraries should be funded by PLS for Library System services provided by CL at a level that covers all direct costs. Acquisitions and physical processing of materials purchased through Central Book Aid should be done by PLS at no charge to the Central Libraries.

F11 Coordinating Agents should be given a specified amount/grant for developing three year plans and administering Intersystem Cooperative Network (ICON) programs.

F12 DLD should be funded at a sufficient level to provide more direct services to Library Systems.

RECOMMENDATIONS CONCERNING MEASUREMENT

M1 Uniform accounting procedures for reporting State, Federal, and other sources of funds should be designed. These procedures should match local accounting requirements as much as possible.

M2 All Library Systems should maintain input cost and output data (quantities, quality, timeliness, etc.) for each service provided, regardless of how the service is provided.

M3 Library Systems (i.e., management and Boards or Councils) should every two years review average costs of services against State norms (i.e., quartiles) to determine whether corrective action is necessary. Results should be reported to DLD.

M4 Library Systems should conduct a survey of members every two years to determine satisfaction with timeliness and quality of each System service received. A uniform survey instrument should be designed for each service (with provision for additional questions, if necessary). Library Systems (i.e., management and Boards or Councils) should review satisfaction against State norms (i.e., quartiles of average satisfaction) to determine evidence as to whether corrective action is necessary. Results should be reported to DLD.

M5 Central Libraries should report input and output statistics annually to the responsible PLS director, who in turn, will report appropriate data to DLD.

M6 Financial and statistical reports required by DLD should ask only for data that are needed and used. DLD should review data collection requirements and make them compatible among types of Library Systems.

M7 Published statistical reports should include a thorough analysis, (e.g., trend analysis) and should be published and distributed in a timely manner. Average cost data and average satisfaction ratings should be provided by quartiles for use by Library Systems.

RECOMMENDATIONS CONCERNING MEASUREMENT (CONT.)

M8 A listing of Library System and Central Library requirements given in laws and regulations should be prepared by DLD and the Library Systems should be required annually or every two years to demonstrate that they meet the requirements and how they met them.

M9 DLD should designate one person as statistical or data analyst to oversee data collection, analysis and presentation.

M10 Library Systems should implement spreadsheet and/or other database management programs and develop both input cost and output quantity measures for every service provided.

M11 DLD should develop regulations and guidelines within which individual Library Systems, their Boards and member libraries can determine which services are necessary and how these services can best be provided.

RECOMMENDATIONS CONCERNING STATE-LEVEL RESPONSIBILITY

SL1 The State responsibility for Library Systems should remain with SED and DLD.

SL2 The DLD and BSLMP of the Office of Elementary and Secondary Education should continue their intradepartmental cooperative program for supporting School Library Systems.

SL3 Renewed effort should be made to educate SED, legislators, school administrators and faculty, and the non-school library community on the importance of libraries to lifelong learning in school settings, academic institutions, communities and work places.

SL4 The DLD and library community should present the Regents and State Legislature with periodic evidence of savings achieved by Library Systems, that there are not better alternatives and that necessary gaps in services are being filled by them.

SL5 A goal and recurring theme of those who support Library Systems should be the enhancement of access to all publicly owned collections by all citizens, and to private collections when arrangements can be equitably made.

SL6 Regional Consultants should spend more time on site in the regions and there needs to be more time available for consulting.

SL7 DLD should consider having a unit designated as a Library Systems unit or office in order to ensure proper accountability.

SL8 The DLD should exert more control in ensuring that Laws and Regulations are fully implemented.

SL9 DLD should develop standards for Library System performance in the next two years.

SL10 There should be more technical assistance, interaction, facilitation, leadership and guidance from DLD. This will facilitate establishing accountability of Library Systems.

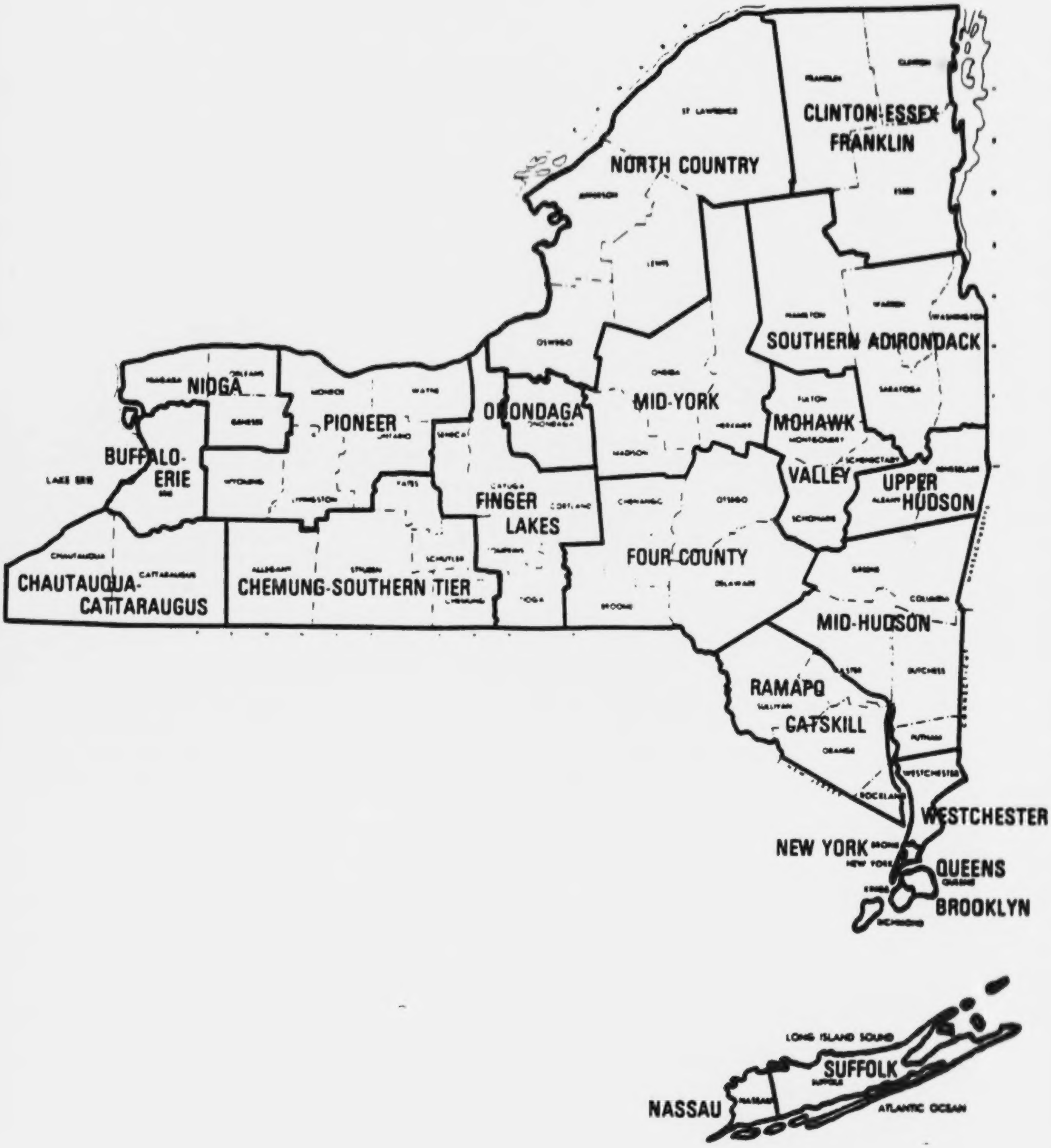
SL11 DLD should streamline and automate paperwork.

SL12 DLD should develop productivity and performance measures for itself.

SL13 DLD should budget and be funded for achieving recommended State-level responsibilities.

Figure 2.1

MAP OF PUBLIC LIBRARY SYSTEMS
IN NEW YORK STATE


NORTH COUNTRY
CLINTON-ESSEX-FRANKLIN
SOUTHERN ADIRONDACK
NIOGA
PIONEER
ONONDAGA
MID-YORK
MOHAWK VALLEY
UPPER HUDSON
BUFFALO-ERIE
FINGER LAKES
FOUR COUNTY
CHAUTAUQUA-CATTARAUGUS
CHEMUNG-SOUTHERN TIER
MID-HUDSON
RAMAPO CATSKILL
WESTCHESTER
NEW YORK
QUEENS
BROOKLYN
SUFFOLK
NASSAU
LAKE ERIE
LONG ISLAND SOUND
ATLANTIC OCEAN

SECTION 2
BACKGROUND AND METHODS

2.1 BACKGROUND

2.1.1 Public Library Systems (PLS)

The earliest development of Library Systems in New York State occurred as far back as the 1940s with the informal establishment of some Public Library Systems (PLS). In 1950 the law authorized the establishment of Public Library Systems. By 1956 there were eight Public Library Systems in the State (including the three New York City Systems - Brooklyn Public Library, The New York Public Library and Queens Borough Public Library) covering 13 counties, plus the Watertown Regional Service Center. The majority of large and small local libraries at that time were still isolated and had inadequate resources. In 1958 the law authorized the establishment of Cooperative Library Systems. Between 1958 and 1962 an additional 14 Systems covering all 62 counties in the State were established. At the present time only three small chartered public libraries are not members of Public Library Systems.

The 22 Public Library Systems in New York State are displayed in Figure 2.1 on page 42. Note that the three Consolidated Systems in New York City (The New York Public Library, Queens Borough Public Library, and Brooklyn Public Library) were excluded from the scope of the study by the Request for Proposals, except for their involvement in intersystem cooperation and funding. The Pioneer Library System is made up of five county systems which operate as follows: Livingston/Wyoming Library System, Monroe County Library System, and Wayne/Ontario Library System.*

Public Library Systems observe county lines, with the exception of Ulster County which is split between two Systems. The 22 Systems serve 62 counties. Only seven Systems serve a single county. Some Systems serve as many as five counties.

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* Reconfiguration of the Pioneer Library System is currently under consideration.

Each Public Library System has a legally designated Central Library or Co-Central Libraries from which other member libraries receive Systemwide reference and interlibrary loan service. Separate funds have been designated by the State legislature to support Central Library functions and materials.

According to the Commissioner's Regulations, all Public Library Systems must have a plan for free direct use of the total public library resources of the area by all residents of the System service area. Systems must also submit a plan of service and employ a qualified director and at least three certified public librarians engaged solely in services administered by the System. The System as a whole, including the member libraries, must also employ one full-time staff member for each 5,000 residents in the service area, and must add annually at least 4,000 titles not previously held by the System. There must be a means of location of materials added in the libraries of the System. Finally, Systems must file a statement of receipts and appropriations with the State Education Department (SED) each year.

Beyond these basic requirements, the services which Public Library Systems offer to their member libraries are determined by each System according to the needs and desires of the libraries in the System service area. Although the Systems differ in the amount of emphasis they give to each service, most of the Systems offer similar services. These may include, but not be limited to, interlibrary loan (including interfacing with the New York State Interlibrary Loan Network - NYSILL) and delivery, consulting and continuing education for both librarians and trustees, improving access through union catalogs, outreach services, and agreements for reciprocal direct access, centralized ordering, processing, and cataloging, selection lists or other aids, assistance with public relations and printing, payroll services, combined purchasing of supplies, reference support, assistance with grant-writing, and, recently, various kinds of computer services.

2.1.2 Reference and Research Library Resources Systems (RRLRS)

In December 1961 the Commissioner's Committee on Reference and Research Library Resources issued its report. The report stated that Public Library Systems alone could not meet the reference and research needs of the State, even with the help of the State Library. Thus, it was suggested that reference and research needs in New York State could be best served by building on existing resources and by the development of a cooperative network of reference and research institutions.

In 1966 regulations authorized the establishment of the Reference and Research Library Resources Systems (RRLRS). Nine such Systems were established to cover all geographic areas of the State as shown in Figure 2.2. The RRLRS are regional consortia of libraries in public and private colleges and universities, special libraries, Public Library Systems and School Library Systems. They enable libraries of all types to share resources.

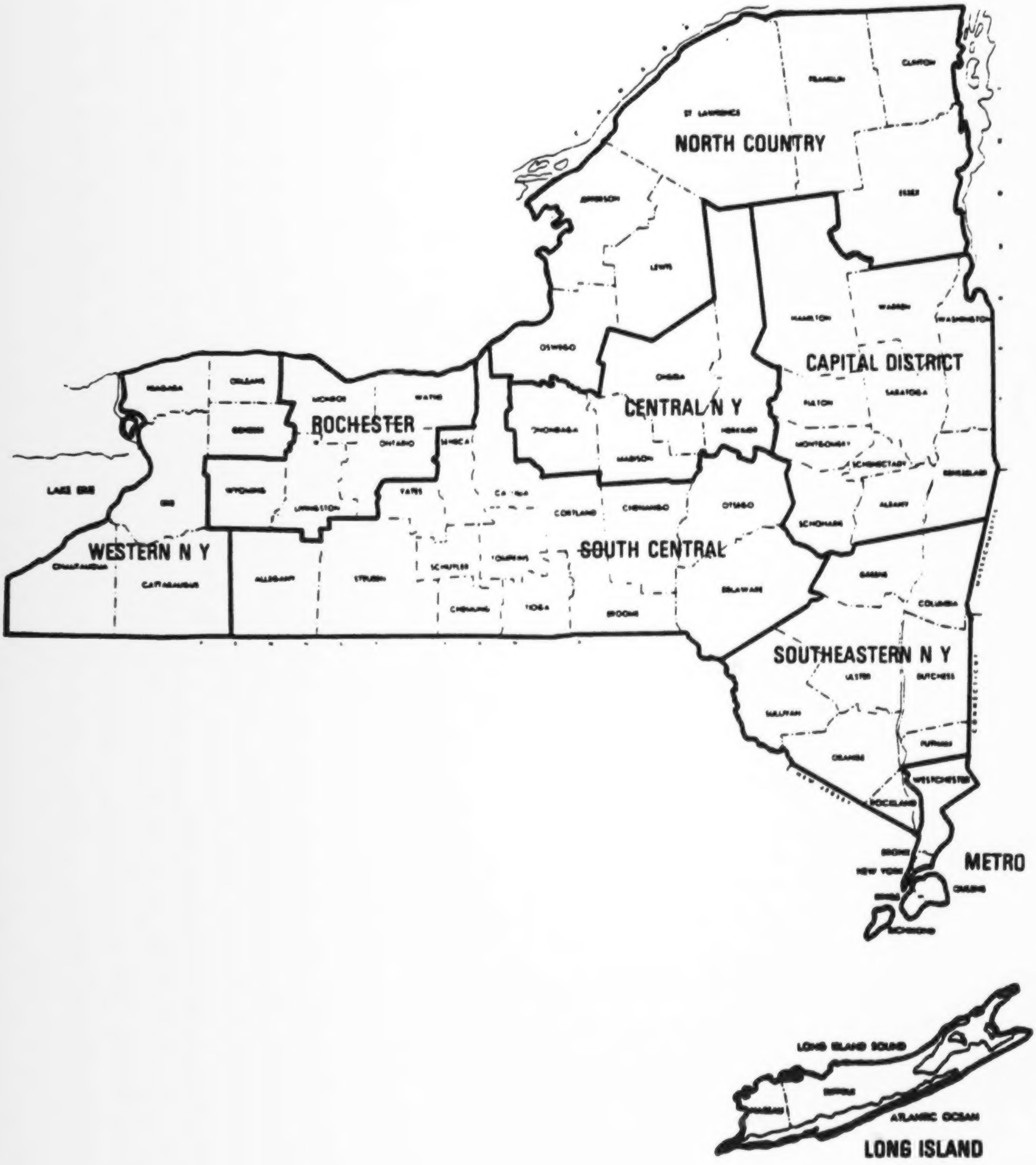
Each of the nine regions includes at least two Public Library Systems and follows these Public Library System boundaries. The word "region," when used in a New York State library development context, refers specifically to the area covered by a Reference and Research Library Resources System.

A basic goal of these Systems is the sharing of library resources to meet the reference and information needs of the library user, students and faculty of institutions of higher education, the professionals, and others. Among the services the RRLRS offer are: interlibrary loan (including interfacing with the New York State Interlibrary Loan Network) and delivery; staff development and in-service training; improved communication among libraries; production of union lists and bibliographic control programs; microfilming and preservation programs; cooperative use of computer-based systems; and reciprocal access. They also administer several special programs such as the Coordinated Collection Development for Academic Libraries and the Hospital Library Services Program. A major

64

Figure 2.2

MAP OF REFERENCE AND RESEARCH LIBRARY RESOURCES SYSTEMS IN NEW YORK STATE


ST LAWRENCE
NORTH COUNTRY
LEWIS
OSWEGO
HAMILTON
WARREN
WASHINGTON
CAPITAL DISTRICT
ONEIDA
CENTRAL N Y
MADISON
SARATOGA
MONTGOMERY
SCHENECTADY
ROCHESTER
MONROE
WAYNE
ONTARIO
SENECA
LIVINGSTON
YATES
LAKE ERIE
WESTERN N Y
CATTARAUGUS
SCHUYLER
CHEMUNG
TIOGA
CORTLAND
CHENANGO
OTSEGO
SOUTH CENTRAL
BROOME
DELAWARE
SCHOHARIE
ALBANY
COLUMBIA
SOUTHEASTERN N Y
ULSTER
DUTCHESS
SULLIVAN
ORANGE
PUTNAM
WESTCHESTER
ROCKLAND
NEW JERSEY
METRO
NEW YORK
LONG ISLAND SOUND
ATLANTIC OCEAN
LONG ISLAND

regional program added in 1986 is the Regional Bibliographic Database and Interlibrary Resource Sharing program. About 655 academic and special libraries in the State, the 22 Public Library Systems, and the 46 School Library Systems are members of these nine regional systems.

2.1.3 School Library Systems (SLS)

The most recent type of Library System in New York State is School Library Systems. Twelve pilot School Library Systems were funded between 1979 and 1984, when the law authorized the establishment of School Library Systems. They are based on the State's 41 Boards of Cooperative Educational Services (BOCES) and the five Big City School Districts, as shown in Figure 2.3. Both public and non-public schools are eligible for participation provided that they meet minimum criteria (see Section 3 for more details). In contrast to the other types of systems, the School Library Systems are not chartered and are part of a different organizational structure.

The School Library Systems' primary purpose is resource sharing. In addition to interlibrary loan and delivery, the School Library Systems are engaged in building machine-readable databases of the holdings of their members, coordinated collection development, service to clients with special needs, public relations and continuing education activities.

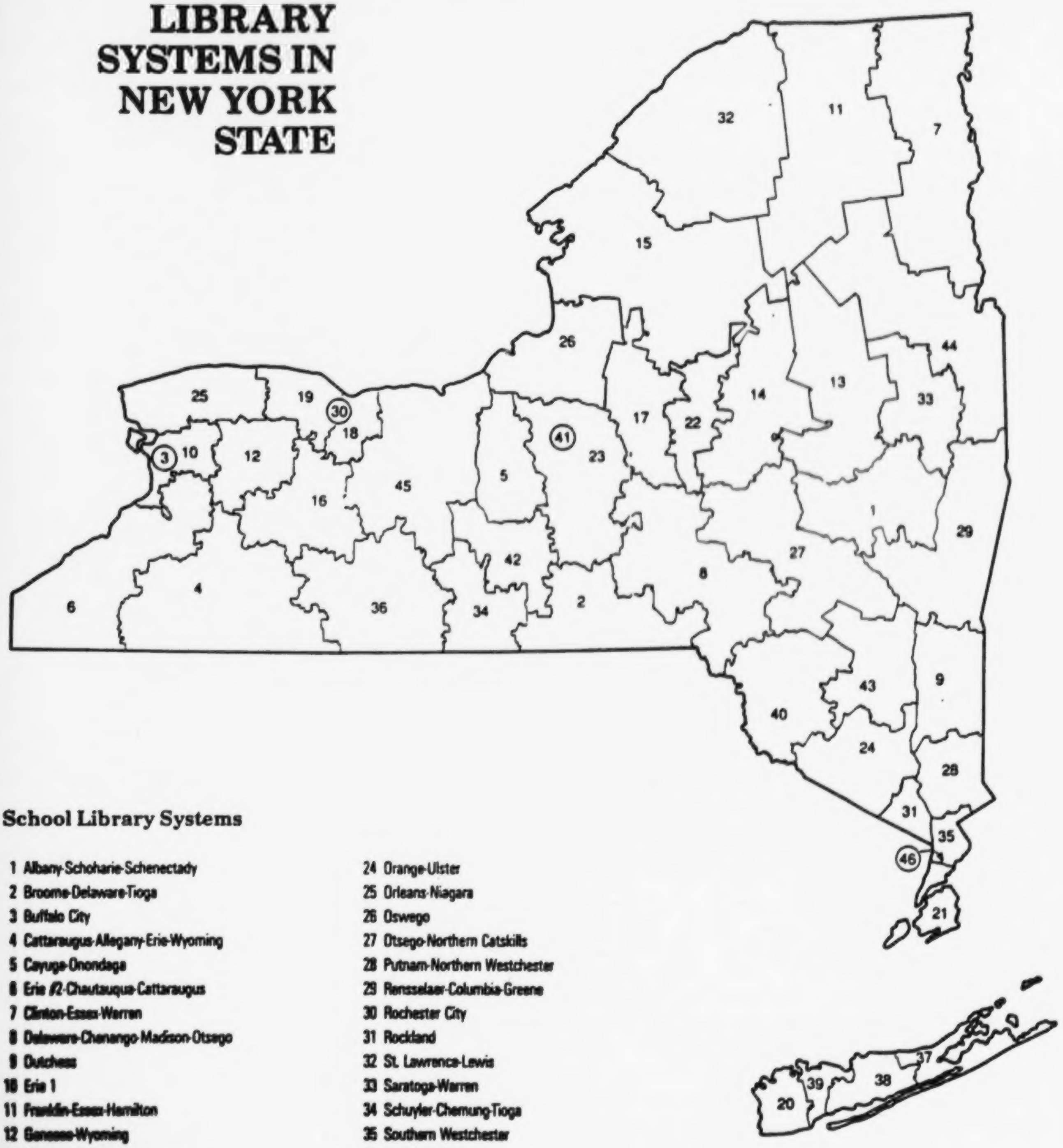
As the newest of the Systems to be formed, the School Library Systems are still in the early stages of development and have not yet had the opportunity to meet their full potential. Funding constraints in particular have restricted the amount of development that has occurred to date.

2.1.4 Scope of Library Systems Study

The last formal, Statewide evaluation of Library Systems in New York State was the Emerging Library Systems study of 1967. At that time only the Public Library Systems existed. The report provided a very

Figure 2.3

SCHOOL LIBRARY SYSTEMS IN NEW YORK STATE



School Library Systems

1 Albany-Schoharie-Schenectady
2 Broome-Delaware-Tioga
3 Buffalo City
4 Cattaraugus-Allegany-Erie-Wyoming
5 Cayuga-Onondaga
6 Erie #2-Chautauqua-Cattaraugus
7 Clinton-Essex-Warren
8 Delaware-Chenango-Madison-Otsego
9 Dutchess
10 Erie 1
11 Franklin-Essex-Hamilton
12 Genesee-Wyoming
13 Hamilton-Fulton-Montgomery
14 Herkimer-Fulton-Hamilton-Otsego
15 Jefferson-Lewis-Hamilton-Herkimer-Oneida
16 Livingston-Steuben-Wyoming
17 Madison-Oneida
18 Monroe 1
19 Monroe 2-Orleans
20 Nassau
21 New York City
22 Oneida
23 Onondaga-Cortland-Madison
24 Orange-Ulster
25 Orleans-Niagara
26 Oswego
27 Otsego-Northern Catskills
28 Putnam-Northern Westchester
29 Rensselaer-Columbia-Greene
30 Rochester City
31 Rockland
32 St. Lawrence-Lewis
33 Saratoga-Warren
34 Schuyler-Chemung-Tioga
35 Southern Westchester
36 Steuben-Allegany
37 Suffolk 1
38 Suffolk 2
39 Suffolk 3
40 Sullivan
41 Syracuse City
42 Tompkins-Seneca-Tioga
43 Ulster
44 Washington-Warren-Hamilton-Essex
45 Wayne-Finger Lakes
46 Yonkers City

detailed evaluation of the progress made by the Public Library Systems and identified 19 areas of need for improvement of the Systems.

Since the last System study was performed, a number of changes have occurred:

- new technology in the library field has made remarkable advances,
- composition of the population in the State is changing in terms of age, national origin, education level, primary language, etc., thereby significantly affecting information needs and requirements of citizens,
- users of libraries are becoming much more sophisticated in their information-seeking behavior as well as their information needs and requirements,
- Library Systems are now serving the academic, research and special library communities and school libraries, in addition to public libraries,
- many new services have been added to the menu of Library System services provided to libraries in the State,
- new types of Library Systems, experiments into new services and types of libraries served, as well as competition for funds, have created a number of conflicts, "turf battles" and disagreements,
- in some instances the State Legislature has assigned new responsibilities to Library Systems without changing the basic Law defining the Systems and their objectives,
- public expectations for accountability are now higher for most public services, including Library Systems, and
- the economies of library service provision and use have reflected the changes above.

For these reasons, it was considered necessary to re-examine Library Systems in New York State and to:

- describe and analyze the way New York's Library Systems are actually working today,

- compare that to the intent of library laws and regulations and to the needs for library services which consequently affect all State residents, and
- recommend changes and justify such recommendations where changing conditions indicate the need for them.

In particular, five components were specified to be studied:

- Mission and services
- Governance
- Intersystem relationships and cooperation
- Funding
- Measurement.

The Request for Proposals for this study identified eight premises which are thought to have provided an underlying base for the existing programs of library development in New York State:

"1. Autonomy and Cooperation

There are two principles at work which sometime conflict with each other. State policy tries to find a compromise. On the one hand, independent libraries serve their own communities, and that is their primary objective and responsibility. Yet, economic conditions of libraries, together with the increase in effectiveness possible through resource sharing, require that local libraries sometimes relinquish some of their autonomy for this principle of cooperation. In addition, for successful resource sharing through Systems, the active participation of local libraries in these Systems is necessary. Because Systems, Central Libraries and member libraries are all autonomous, success is then dependent upon the good will, cooperation and compatible goals of all institutions.

2. Commitment to Excellence and to Serving the Total Constituency

The Regents and the State Education Department assume that the administrations and governing bodies of local libraries of all types are committed to providing the best library service possible to their entire constituencies and that they will raise local funds to the best of their ability to accomplish their missions. State aid in all programs supplements local

ability to provide funding rather than supplanting local effort. State aid targeted toward such priorities as outreach or literacy may also cause reassessment of constituencies and their needs and direct increased local resources toward those population segments.

3. Diversity in the State

One of the most important concepts in library development in the State has been the acknowledgement of significant local and regional differences. Public Library Systems, the Reference and Research Library Resources Systems, and now the School Library Systems, have been encouraged to determine and develop their own service patterns to meet the needs of their areas. Geography, population density and other demographic patterns, cultural and educational resources available in various regions of the State, and business and economic factors all influence the library and information needs of the people in an area as well as the ability of a region to fill its needs independently.

4. Standards

In recent years there has been a resurgence of interest in standards for libraries in New York State. Standards for both Library Systems and Local Public Libraries have been discussed, and questions raised as to the best way to measure success (whether by inputs or outputs) as well as how to measure System performance. Standards for interlibrary loan service have also been mentioned. Questions have also been raised about whether there should be some standardization of System services, even though this would run counter to the concept of local and regional determination. While there are different views regarding standards, the need for equity throughout the State when state funds are involved dictates that consideration be given to strengthening standards.

5. Access

The 1981 Commissioner's Committee Report recommended that 'Every resident of New York State should enjoy timely and free access through local libraries working within Library Systems, to a full range of informational resources and services. . . .' The Board of Regents adopted this as state policy in 1982.

Problems relating to three aspects of accessibility (legal, physical, and bibliographic) are unresolved today in many areas of the State. The questions of access by children to the complete range of library materials and services, Systemwide borrowing cards, problems of distance (usually to the materials and services in the Central Library but also to major research libraries) and of access by the elderly or handicapped persons, are issues in more than a few Systems and regions. Portions of the State do not subscribe to the Statewide reciprocal borrowing program developed during the 1970s. Delivery of library materials within and between regions is also part of the problem of access.

6. Economies of Scale

For some thirty years, Systems have brought large numbers of libraries together within fairly large geographic areas to share services. There have been discussions and recommendations at various times (most recently in the 1981 Commissioner's Committee Report) concerning merger of Library Systems, and the effectiveness of small public libraries, even operating within Systems, has been questioned. In recent years, changes such as the availability of computers for resource sharing are causing re-examination of some traditional centralized services. A re-evaluation of these services is needed to determine whether some of these services might now be more effectively provided by decentralizing them.

7. Impact of Technology

Recent technological developments which may affect the future of libraries and Library Systems include, but may not be limited to the following:

- National bibliographic utilities
- Online communications for interlibrary loan
- Electronic acquisitions systems
- Database searching for information (Dialog, BRS, etc.)
- Automated integrated systems for library functions
- Optical disk technology, including CD-ROM
- Electronic publishing
- Development of networks
- Improvements in telecommunications
- Public access catalogs and remote access to catalogs

Technological opportunities are available both for increasing the efficiency and effectiveness of individual libraries and Systems and for speeding communications, and therefore delivery of library materials, between and among points in local, regional and Statewide networks.

8. Intersystem Cooperation at the Regional Level

Since the inauguration of the Reference and Research Library Resources Systems in the late 1960s, there has been increasing emphasis upon regional programs to foster cooperation on a wider geographic area than a single Public Library System. Prior to 1978, the regional concept was limited to cooperation (mostly in the form of interlibrary loan and delivery) within

> **each RRLRS to meet the research and information needs of the serious researcher, with the primary focus on making available the research resources of academic and special libraries, and those of the largest public libraries. Public library researchers had access to regional resources, but in many regions, interlibrary loan service for public library users was provided by the Public Library Systems.**
>
> **Consideration of multitype library cooperation in New York State has been tied to the regional level of the State's library structure. In 1978, two pilot regional networks for intersystem cooperation, including pilot School Library Systems, were created to promote regional sharing. A Comissioner's Committee, constituted in 1980 to make recommendations for state action regarding library service in the 1980s, included regional multitype library cooperation in its report, Meeting Information Needs of the 80's (1981). The Committee viewed the pilot projects as duplicative and recommended that the functions and services of the pilot networks be combined with those of the RRLRS to create new Regional Multitype Library Organizations (RMLO), rather than developing additional regional networks. However, field consensus for this change could not be achieved, and the concept of regional multitype library organizations was dropped by the State Library in 1983. Questions on the means for administering regional multitype programs and fostering regional cooperation remain. The Regional Bibliographic Databases and Interlibrary Resources Program is administered on an intersystem basis within the RRLRS regions."**

2.2 DESCRIPTION OF DATA AND THE ANALYSES

2.2.1 Discussion of Data and Analysis

There are basically two kinds of information obtained during the course of the study. The first of these includes information about attitudes and opinions of Library System participants concerning such issues as service provision, governance, intersystem relationships, funding, and so on. This information was obtained by questionnaire (Library System, Central Library and member library surveys), interviews, open meetings and correspondence from participants. All of this information was carefully reviewed and opposing viewpoints considered. Such information is also very useful in identifying gaps in services. In some instances, counts of certain types of responses from the surveys are presented to emphasize the level of opinion in the library community. The second kind of information is derived from survey and other data collection and analysis.

The study emphasizes quantitative analysis of Library System cost, amount of service provision and use, and member library perceptions of importance of services and their satisfaction with services. These data are presented by each of 60 services and by type of Library System. Each service is described by who provides the service to whom (type of member libraries); headquarters input cost, output quantities, and overall average costs; factors that affect costs; and factors that are related to funding formula. Quartiles of average costs and average satisfaction ratings are given for Library Systems to compare their performance with other Systems. These data are given in Appendix C and a detailed example is given below in Section 2.2.2. A number of special analyses were done with these data and are found throughout the report. Not all analyses proved fruitful. For example, we looked at the pilot SLS to determine if they are performing better than other SLS. Results are non-conclusive. Other analyses provide evidence of how well Library Systems are performing, whether funding formulas reflect costs of services, the effect of size of member libraries on cost of services, extent of multitype services, and so on.

2.2.2 Introduction to Example of Analysis

We have performed detailed analyses of 60 services provided by Library Systems in New York State. Since the description of the analyses requires nearly 100 pages, we have relegated it to Appendix C for those who are interested. We feel that the analyses are important and, therefore, describe the analyses in this section to convey their relevance. This description of the detailed analyses is provided through an example for one service.

In this example and in Appendix C we provide summaries of data and information concerning individual services provided by Library Systems. The services are grouped into those involving interlibrary lending and borrowing, interlibrary loan support mechanisms, access to other shared collections, performance of library operational functions, direct services to users, support of library developemnt, enhancement of interlibrary cooperation, and member library participation (see Section 3.2 for a description of services and Table 6.12 for a complete listing of them). Appendix C is subdivided by these groups of services. Data summarized there come from (1) the member library survey which obtained information about amount of services used from specific types of Library Systems and other sources, the importance of these services and satisfaction with the services, (2) the Library System survey which provided data on amount of services provided by Library Systems, cost of these services, and, therefore, average cost per transaction, and (3) other sources of data. The Library System data were provided by 76 Library Systems including three of the Pioneer federated systems reporting separately. Chemung-Southern Tier reported as one Library System. No Consolidated System data are included (i.e., from The New York Public Library, Queens Borough Public Library or Brooklyn Public Library). Also included are survey data from Central Libraries (16 of 23 CL responded) and 437 member libraries. Details of the methods used on the study are given in Section 2.3.

Within each service the following summary data are reported:

- **WHO PROVIDES THE SERVICES AND TO WHOM** including number of Library Systems that provide service (current, planned, headquarters), number of member libraries that use service (members, non-members) and amount of use of service (members, non-members).

- **HEADQUARTERS INPUT COST AND OUTPUT QUANTITIES** including number of service transactions received by member libraries, amount of services provided by Library System headquarters, cost of services provided by Library System headquarters, and derived data such as average costs, median costs and cost by quartiles.

- **IMPORTANCE OF AND SATISFACTION WITH SERVICES**

  - quartiles of average satisfaction ratings.

- **COSTS AND FACTORS THAT AFFECT COST OF SERVICE**
  - quartiles of average costs
  - economies of scale
  - automation
  - upstate vs. downstate.
- **FACTORS RELATED TO FUNDING FORMULA**
  - population
  - area
  - density.

These data are reported for each service.

In Appendix C we address services that are provided by the 76 Library Systems in New York State. All told Library Systems reported 117 individual services provided by one or more of the three types of Library Systems. We grouped these into 60 services which are given in Appendix C. Detailed descriptions of the magnitudes and costs of these services are included in Appendix C. Finally, economic analyses are performed to develop a set of recommendations regarding these services.

In reviewing the descriptions and sample analysis below, it may be useful to have some background information concerning the data that are quoted. Data were collected largely by two means: a census survey of Library Systems and a sample survey of member libraries. Services were defined in comparable ways for both surveys. Library Systems were asked to identify amounts of services provided to member libraries and the costs (labor, other direct, and contract) of these services. This provided a basis for computing total service costs and costs per unit or transaction of the service. Two components of the Library System costs that were provided separately were fringe benefits (i.e., vacation, sick leave, holidays, pension, insurance, etc.) and general and administration (i.e., administering "pass-through" funds, facilities, time devoted to paperwork, etc.). Fringe benefits were added to direct labor costs and general and administration costs were allocated to all (non-contract) direct costs (i.e., labor plus fringe benefits, other variable, and fixed). Library Systems and Central Libraries were given the opportunity of attending two workshops to describe how the data should be collected or derived and reported.

Member libraries were asked to identify the amounts of services used and the sources of the services (e.g., Public Library System, Central Library, RRLRS, School Library System, or other system library or service). Thus, we have a basis for estimating the extent to which each Library System contributes to the overall service received by member libraries. Note that member libraries do not always know the actual source of request fulfillment. For example, a request may be submitted to a Library System that, in turn, refers the request elsewhere. The member library may indicate that it received the service from the Library System to which it sent the original request or from the fulfillment source. We also asked member libraries to rate the level of importance of services to them and to their patrons. The rating was on a scale of one (very unimportant) to five (very important). The member libraries were also asked to rate their satisfaction with services provided by each source. Ratings of satisfaction were given on a scale of one (very dissatisfied) to five (very satisfied). Average ratings for each service are presented for both importance and satisfaction. Finally, amount of services provided by a member to other libraries or the System libraries is given.

Each service is defined using the definitions provided on the two survey questionnaires, or their attachments when appropriate (included in Appendix D). Also the total amount and costs of services provided by Library Systems are estimated. Note that Library Systems were asked to report only amount of services (and costs) provided by System headquarters and not by member libraries or Central Libraries, since estimates of such additional service provision are made from other sources. We mention that amounts of services and their costs are estimated because sometimes Library Systems indicated that they provided services, but reported only the amounts of services or costs (or in one instance neither). Thus, even though we received questionnaires from all the Library Systems we had to impute for questionnaire item non-responses. Basically, this was done by using averages computed from responses. For example, if a Library System reported amount of services, but not costs we took the average cost per service unit (within that type of System) and multiplied that cost times the number of service units reported. The reverse was done for instances in which cost was reported but not the units of service. If neither were reported, we merely imputed the average number of units and the average costs found for that type of Library System (see Section 2.3 for more detail).

Parts of the economic analyses of Library System services were performed to provide Library Systems and their members with evidence that will help them to assess their services and decide whether to provide them differently, reduce costs or improve services, or to seek alternative sources for the services. To do this we provide data concerning factors that affect or are related to cost such as economies of scale, automation, and upstate vs. downstate Library Systems. Also, we provide data by factors that are used in funding formulas such as number of persons in population and size of area served.

Some of the services, for example, clearly demonstrate economies of scale. Thus, if the amounts of services provided by some Library Systems are not up to the critical mass, or if the average costs to provide a service appear for some other reason to be relatively high compared with other Library Systems, the Library Systems and their members should explore the possibility of alternatives. For this purpose, average costs are provided when they appear to be appropriate.

2.2.3 The Example: Interlibrary Lending and Borrowing

There is a substantial amount of interlibrary lending in New York State and a major study of this activity was performed and reported in 1987. Library Systems support interlibrary lending by providing a centralized facility for processing requests, performing searches for bibliographic verification and for locating potential lending libraries, and referring requests to these libraries. In some instances, Library Systems lend materials from their own collections and actually borrow materials for headquarters use and outreach services that they provide. In order to develop a common basis for determining the extent and cost of

Library System (headquarters) involvement in interlibrary lending, as well as the extent to which member libraries use Library Systems for interlibrary lending and their levels of satisfaction with interlibrary loan, we defined interlibrary loan services as follows:

- **Interlibrary loan request processing (service 1.1).* Involves the process of requesting an interlibrary loan and receiving the request to determine its disposition. It may involve a form (e.g., ALA form) or the request could be transmitted by an electronic medium. Request processing would include the actual preparation of a request by a borrower (including input to electronic medium) and handling the request up to the point that its disposition is determined (e.g., to fulfill in library, refer to another source, or refer back to borrowing library). It does not include processing the material being loaned or the process of verifying or of locating the material for referral to that location. Activities might include acting as a clearinghouse for interlibrary loan requests, using computer information data bases to locate the information requested, and referring interlibrary loan requests from one library to another.**

- **Verifying and locating needed materials (services 3.1-3.5). This activity involves searching to verify and/or locate an item to be borrowed or loaned. The activity might be done by the borrowing library or referred to another source such as a Library System to be done on behalf of the borrowing library. External sources or systems might be employed such as NYSILL, a Library System-wide union catalog (e.g., COMCAT), OCLC, or a designated System clearinghouse.**

- **Interlibrary loan of materials (services 1.2, 2.1, 2.2, 2.3). A transaction in which a Library System headquarters, Central Library or member library lends an item, or distributes a photocopy of an item, to another cooperating member or library.**

For the purposes of the example, only the first of these three types of interlibrary loan services is discussed below (i.e., ILL request processing). The remaining 59 services will be found in the same format in Appendix C, although in the example below we inject some further comments concerning analysis methods, interpretation and cross references to the text.

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* Service codes are used throughout the Report.

2.2.4 Data and Analysis for Interlibrary Loan Request Processing (service 1.1).

		Type of Library System			
		PLS	RRLRS	SLS	Total
WHO PROVIDES SERVICES TO WHOM					
No. of Library Systems That Provide Service (1)					
Current		20	9	46	75
Planned		0	0	0	0
Headquarters		20	9	46	75
No. of Member Libraries (2)					
Total members		731	655	3,207	4,593
Members that use		731	422	2,083	-
Cross-system type use (3)		591	274	56	-
Total that use		1,322	696	2,139	-
Amount of Service Use (000 requests) (2)					
Members		621	203	152	976
Cross-system type (3)		9	13	3	25
Total		630	216	155	1,001
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4,5)					
Amount (000)	- I	678	113	128	919
	- C	72			72
Cost ($000)	- I	904	329	405	1,637
	- C	167	84		251
Average Cost ($)	- I	1.33	2.91	3.15	1.78
	- C	2.32			3.49

---

(1) Library System survey: does not include one PLS that did not respond.
(2) Reported in member library survey (weighted estimates).
(3) No. of libraries that use services from Library Systems in which they are not members.
(4) Reported by Library Systems (with imputed data).
(5) The upper values refer to services provided in-house (I) and the lower values to contract (C) when applicable.

The total amounts of services reported by headquarters are reasonably close to the amounts estimated from the member library survey (certainly within their standard errors, see Table 2.5). One RRLRS let a contract for this service, but did not report the quantity of service; thus, the amount and average cost for contracted services is reported above as unknown.

Weighted estimates (member library survey) and imputed data (library system survey) are discussed in Sections 2.3.3 and 2.3.1 respectively.

The quantity of services provided by Central Libraries is estimated to be 189,000 requests at a cost of $353,000 or an average cost of $1.87 per request. The median is $1.46 per request.

Member libraries also indicate they use other sources for about 420,000 requests. Members of RRLRS dominate the overall use of other sources. For example, they use RLIN and OCLC to request point-to-point to other academic and special libraries in and out of the State.

The PLS do over two-thirds of interlibrary loan request processing filled by Library System headquarters. They also average many more per System than the other types of Library Systems, which may account for the difference in average costs among the three types of Library Systems. However, the different types of Library Systems also perform different functions on the requests, which may also contribute to the difference in average costs.

Member libraries use their own Systems for this service, both in terms of number of libraries that use Library Systems for this service and the number of requests made. For example, 98 percent of requests (which are processed by Library Systems) from public library members go to Public Library Systems or Central Libraries; 94 percent of requests for academic, research and special libraries go to RRLRS; and 98 percent of requests by school libraries go to School Library Systems. Note, however, that the requests to Systems may be referred to other Systems that process them as well. The extent to which this is done was not determined.

IMPORTANCE OF AND SATISFACTION WITH SERVICE

Average Importance of Service		Sample Size n
PLS members	4.84	146
RRLRS members	4.79	63
SLS members	4.74	92
Overall	4.77	301

It is clear that all types of libraries consider this service to be a very important one.

In this example we give the distribution of libraries that note the importance of the service at the five levels.

	Very Unimportant 1	Unimportant 2	Neither Important Nor Unimportant 3	Important 4	Very Important 5	Total
Number of Libraries	2	1	12	20	266	301
Proportion (%)	0.7	0.3	4.0	6.6	88.4	100.0

Thus, 88.4 percent of the libraries consider the service to be very important and only about one percent consider it unimportant. Note that average importance given overall above (4.77) is different from an average calculated from the distribution above (4.82*). The average from the distribution above (4.82) is calculated from raw responses whereas the reported average (4.77) is calculated from weighted data. All estimates given throughout the report are calculated from weighted responses. The sample and population of member libraries are grouped into 36 categories of four types of libraries and nine regions. The proportion of sample responses to total libraries in each of the 36 categories is different, sometimes substantially so. Thus, each response must be given an appropriate weight to account for the ratio of population size (N) divided by sample response (n). Statistically, this weight is called the inverse of the probability of selection. Referring to Table 2.1, note that the sample response for PLS member was 186 public libraries which is 25 percent of all public libraries. The comparable proportions for RRLRS and SLS member libraries are 15 percent and 5 percent respectively. Thus, it does not make sense to give as much "weight" to the responses (i.e., importance rating) of public libraries as school libraries because each response represents fewer libraries. Furthermore, we also stratified by regions. Thus, we weight each response from a group (or sample cell) of libraries classified by library type and geographic region. This weighting method reduces the amount of bias or error attributable to disproportionate sampling.

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* Average calculated by 0.007 X 1 plus 0.003 X 2 plus 0.04 X 3 plus 0.066 X 4 plus 0.884 X 5 = 4.82.

The standard errors for the average importance ratings are given in Table 2.7 by type of service.

Library users of the services also rated their satisfaction with the service provided by each System from which they received the service. Average satisfaction ratings and distribution of ratings are given below.

Average Satisfaction Ratings of Service		Sample Size n
PLS	4.45	148
CL	4.26	31
RRLRS	4.38	77
SLS	4.59	97
Other	4.34	67

An example is also given here for overall distribution of satisfaction ratings (unweighted).

	Very Dis-Satisfied 1	Dis-Satisfied 2	Neither Satisfied Nor Dissatisfied 3	Satisfied 4	Very Satisfied 5	Total
Number of Libraries	1	8	33	102	208	352
Proportion (%)	0.3	2.3	9.4	29.0	59.1	100.1

King Research has done literally hundreds of surveys in which satisfaction ratings are observed. As a general rule, most respondents tend to rate their level of satisfaction with services as satisfied or very satisfied. The same has been observed in our member library survey. We have also found that when average ratings fall below about 4.00, there is an indication of problems. The satisfaction ratings for the service example above are very high and 59.1 percent of the libraries are very satisfied with the service provision of Library Systems. Only 2.6 percent are dissatisfied or very dissatisfied. This kind of distribution is not atypical since most member libraries (or users) will specify that they are satisfied or very satisfied. However, when the average ratings go down from about 4.30 to about 4.00 the proportion of libraries satisfied drops from about 90 percent (as is the case with this service) to about 70 percent. At 3.50 this proportion typically drops to less than 50 percent. The real key to decision-making, however, involves dissatisfaction. Typically, dissatisfaction goes from about 3 percent to over 5 percent to over 10 percent at the average levels above. For decision-making purposes Library Systems should determine why users are dissatisfied in order to know whether the problem is a serious one and what issues to address.

We present quartiles of average satisfaction ratings among Library Systems for the example service as follows:

Quartile	Range of Average Satisfaction Ratings
Low 25%	<4.00
Mid-low 25%	4.01 - 4.50
Mid-high 25%	4.51 - 4.75
High 25%	>4.75

Note that Library Systems were included in the quartiles above only if there were at least three libraries responding (42 Library Systems). This means that one-fourth of the Library Systems had ratings of less than 4.00, one-fourth between 4.00 and 4.50, and so on. The quartiles are from all types of libraries and Library Systems. Medians of average satisfaction raings are given for each of the three types of Library Systems.

We believe these quartile displays can be used by Library Systems to assess their performance. Some Library Systems conduct surveys of their members periodically. (We believe they all should - see Section 7). When they do, if they ask for satisfaction ratings, they can compare average ratings with other Library Systems by assessing against the quartiles given in this Report. Medians for the three types of Library Systems are given below to assist in such assessment.

	Median Satisfaction Rating
PLS	4.58
RRLRS	4.38
SLS	4.50

The median is the mid-point of a distribution. That is, one half of the Library Systems have average satisfaction ratings above and below the median. Overall satisfaction ratings are useful, but ratings for specific requirements for output attributes such as quality, timeliness, accessibility, etc., may be even more useful (see Section 7 for more discussion).

COSTS AND FACTORS THAT AFFECT COST OF SERVICE

As we stress throughout the Report, average cost per unit produced (or provided) is a critical indicator of Library System operational performance. However, there are factors that may affect average cost such as amount of service provided, whether the service is automated or not and whether the Library System is located upstate or downstate. Thus, data are provided concerning each of these factors. Note that presentation of average costs are based only on responses from Library Systems that include both quantities and costs.

Quartiles of average costs are also provided along with medians for each type of Library System. These data (presented in Appendix C) can currently be used by Library System directors and boards to assess operational performance and we strongly recommend that this be done. Each Library System can compare its responses to King Research with the quartiles in Appendix C to see how they compare with other Systems.

Quartiles and Medians

The quartiles of average cost per unit of the service (calculated for each Library System) are as follows:

Quartile	Range of Average Costs
High cost 25%	>$3.40
Mid-high cost 25%	$1.56 - $3.40
Mid-low cost 25%	$0.80 - $1.56
Low cost 25%	<$0.80

The median cost per request is $1.56. That is, one-half of the Library Systems provide the service at less than $1.56 and one-half above that amount. Medians by Type of Library System are as follows:

	Median Average Costs
PLS	$0.89
RRLRS	$1.56
SLS	$2.30

Economies of Scale

Average (and median) costs are calculated for different levels of output quantities to determine the extent to which economies of scale occur for each service. This indicator is extremely important because it is one of the most important aspects of Library Systems operations. If there are economies of scale and Library Systems can combine the services (or operational functions) of enough member libraries, Library Systems can reduce average costs considerably below what it would cost member libraries to do the work themselves. Thus, investment by the State in Library Systems can yield substantial savings and/or better services to libraries in New York State. We have made estimates of what such returns can be.

Economies of scale are achieved through several means:

- large fixed costs that are spread across amount of services provided,
- large operations can usually perform some production-like activities less expensively than small ones,
- batched activities can normally be done more productively than if they are done in a sporadic manner, and
- larger library operations by having staff with specialized competencies (i.e., knowledge and skills) can more productively utilize such expertise.

Two figures (Figures 2.4 and 2.5) from the Workshop presented by King Research to Library Systems are given below to help explain achievement of economies of scale through spreading large fixed costs.

One figure shows total costs plotted against number of transactions and the second shows average cost plotted against number of transactions. Assume that the fixed cost of a service, say online bibliographic searching (from vendors such as Dialog, BRS, etc.), is $3,000 and the variable or incremental cost is $30 per search. Thus, the total cost is $3,000 even if there are no searches in a year (Figure 2.4). If there is only one search in a year the total cost is $3,030 (Figure 2.4) and the average cost is also $3,030 (Figure 2.5). If there are two searches the total cost increases to $3,060 ($3,000 + 2 X $30) and the average cost per search drops dramatically to $1,530 ($3,060/2). With three searches the total is $3,090 and the average is $1,030, and so on. As the number of searches increases, say to 100 searches, the total cost increases to $6,000 ($3,000 + 100 X $30) and the average cost decreases to $60, a number much nearer to $30, the incremental cost. At 1,000 searches the total cost is $33,000 and the average cost is $33. One can continue to increase the number of searches and the average cost will continue to come closer to $30 but never quite reach it. Thus, the incremental variable cost is an asymptote. The amount of service (or number of transactions) in which the average cost comes close to the incremental cost is referred to by us as the "critical mass." That is, the amount of service Library Systems should try to approach in order to achieve the greatest savings to member libraries. Sometimes it may be necessary for two or more Library Systems to consolidate services in order to achieve economies of scale.

There are clearly economies of scale operating with interlibrary loan request processing. For example, the average and median costs at different levels of activity are as follows:

Figure 2.4

TOTAL COSTS

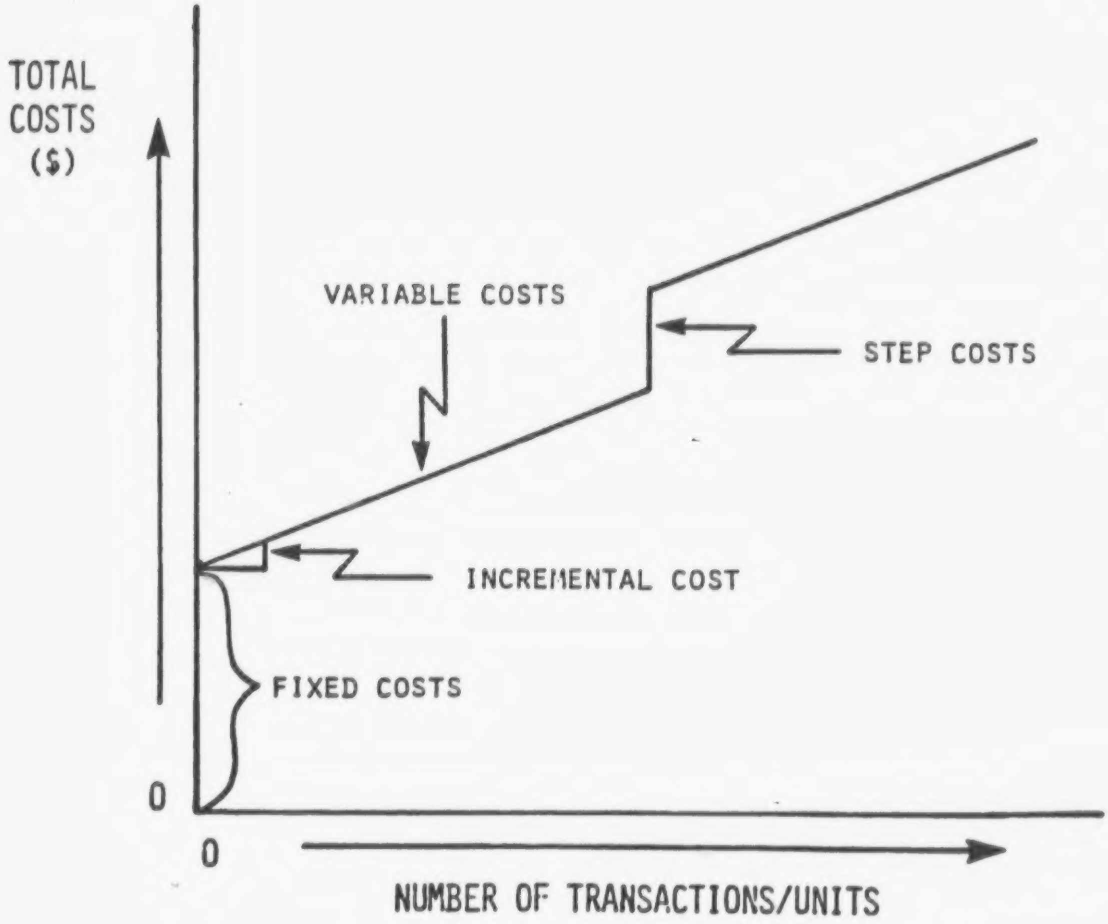
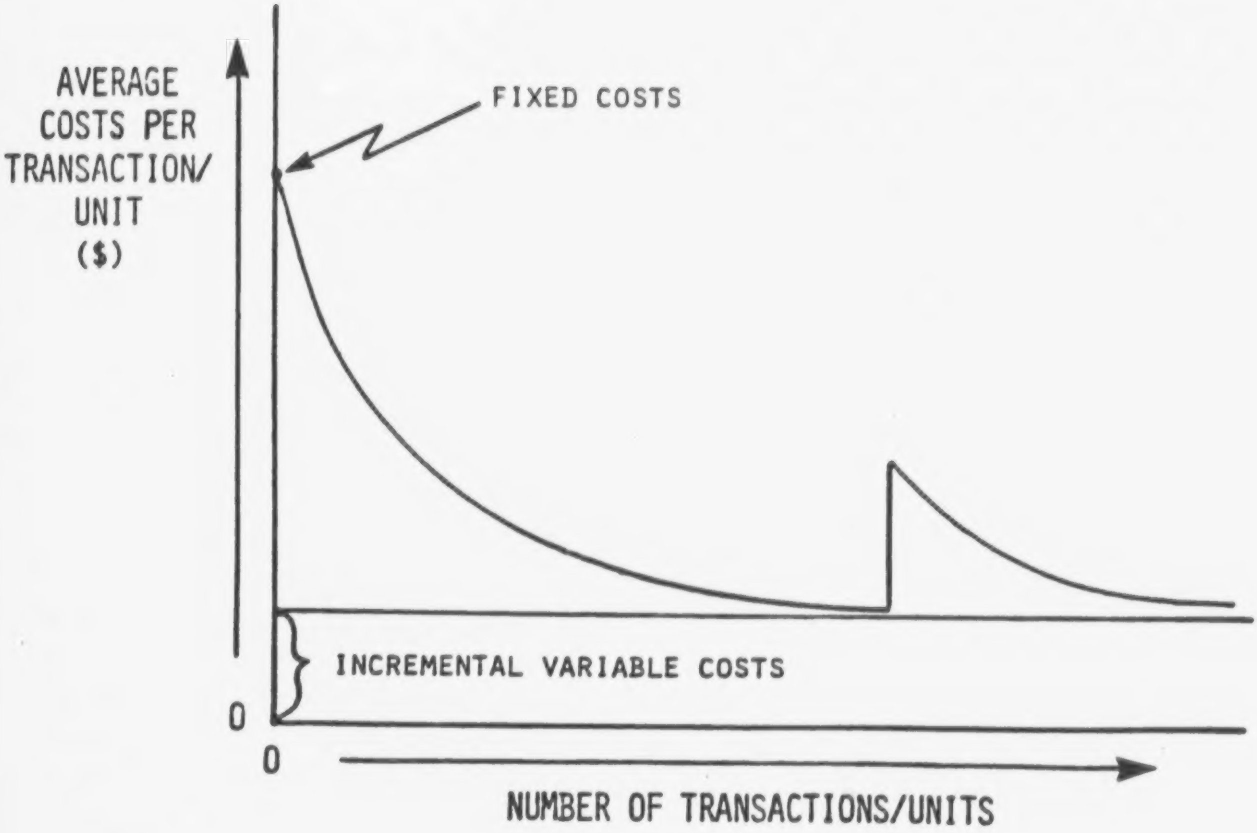


Figure 2.5

AVERAGE COSTS



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No. of Requests Processed	Average Cost ($)	Median Cost ($)
Under 1,000	$6.48	$7.13
1,000 - 2,500	3.47	2.27
2,500 - 5,000	1.67	1.60
5,000 - 15,000	0.90 (1.33*)	0.63
15,000 - 20,000	1.32	0.98
Over 20,000	1.30	0.94

*This level appears to be an aberration. $1.33 is calculated by interpolation.

We present both average cost and median cost because they serve as a check against one another. If the distribution of average costs is normally distributed (i.e., bell shaped) they would be equal. However, cost data tend to be skewed and averages are sometimes high due to large "outliers." They also tend to be higher than medians. Unless averages are inconsistent (as they sometimes are) they should be used rather than medians.

It appears that a Library System should have over about 10,000 requests processed annually or about $1.50 per request to achieve a "critical mass." The numbers of Library Systems with quantities below the "critical mass" (i.e., fewer than 10,000 requests processed) are no PLS, 3 RRLRS, and 30 SLS.

If all Systems had their member libraries direct requests to Systems that have a volume of activity over the "critical mass" there would be a potential savings of about $1.88 million. These data are based on PLS because we have data on amount of public library interlibrary borrowing and all PLS are operating above the critical mass (i.e., number of requests processed). The total cost of interlibrary loan request processing by Public Library Systems is about $900,000. The critical mass for this service is about 10,000 requests processed. At 10,000 requests or more it costs about $1.50 per request to process. Other average costs are as follows:

No. of Requests Processed	Average Cost ($)
Under 1,000	$6.48
1,000 - 2,500	3.47
2,500 - 5,000	1.67

If a library has fewer than 1,000 requests it would cost about $6.48 per request. By having the PLS do the processing it would cost about $1.33, thus the State saves these small public libraries about $5.15 ($6.48 minus $1.33) by having the PLS provide the service. All of the 466 libraries serving under 7,500 persons have fewer than 1,000 such requests in their libraries. The estimated total number of requests from these 466 libraries is 213,000. Thus, these libraries save about $1.1 million (i.e., $5.15 times 213,000) or $2,360 per library. The number of libraries and requests processed between 1,000 - 2,500 is 189 libraries and 228,000 requests, respectively. The total savings to these libraries is estimated to be $488,000 (i.e., 228,000 times $2.14). The savings to the remaining libraries is $69,000. Thus, total savings is about $1.6 million. Some potential savings may be lost because not all Systems operate with quantities above the critical mass. However, that is not the case with PLS with this service. The cost to the State for providing these services through PLS is about $0.9 million. The savings achieved for this service are about 1.78 times cost for PLS only. For some other services (e.g., acquisitions) the relative savings are substantially greater than ILL request processing so that overall the savings of all these services come to about 3.5 times cost.

Automation

The number of Library Systems that reported they use automation for interlibrary lending are: 13 - PLS, 9 - RRLRS, 23 - SLS.

Average costs are:

Automated	$1.57 per request
Non-automated	$1.86 per request

In this case, it appears to cost more per request with non-automation than automation, although the difference is not appreciable.

Upstate vs. downstate

PLS - upstate ($0.98), downstate (Unk)

In this instance, not enough downstate information is provided to report an accurate average.

FACTORS THAT ARE RELATED TO FUNDING FORMULAS

We believe that the funding formulas may not accurately reflect costs to Library Systems. In fact in Section 6.8 we present evidence to this effect. The funding formula is based partially on population served and geographic area. We intuitively believe that some patterns of cost and effects of these factors may exist. Thus, we provide data on average cost per unit and average cost per factor unit (i.e., per population and per square miles) for most services for the purpose of further analysis, if deemed worthwhile by someone. We also present average cost per unit for levels of density (i.e., persons/square mile). Such analysis is beyond the scope of the project, but data are made available in Appendix C.

	Avg. Cost/Unit	Avg. Cost/ Factor Unit
Population		
<300K	$1.21	$0.15/capita
300-500K	0.77	0.05/capita
500K-1M	0.40	0.09/capita
>1M	0.88	0.06/capita
Area		
<1K	$0.12	$14/square mile
1-2K	1.11	23/square mile
2-3K	1.93	17/square mile
3-4K	0.74	12/square mile
>4K	0.54	4/square mile
Density		
<75 persons/sq.mi.	$0.37	
75-100	1.17	
100-200	1.54	
200-1,000	0.78	
>1,000	0.12	

2.3 METHODS

This study was performed by King Research, Inc., through a combination of (1) interviews with staff from 76 of the Library Systems, many Central Libraries and Consolidated Systems (The New York Public Library, Queens Borough Public Library, and Brooklyn Public Library) and (2) formal survey instruments. The 76 systems did not include Consolidated Systems, but did include three Systems within Pioneer Library System (i.e., Livingston/Wyoming Library System, Monroe County Library System, and Wayne/Ontario Library System). Chemung-Southern Tier reported as one Library System. A detailed interview guide was used to ensure that certain data were obtained for consistency. Also, the interview guide was used to clarify survey responses or to request data that were not provided. A copy of the interview guide is given in Appendix D.

In conjunction with the interviews with the 76 Library Systems, open meetings were held at which member libraries, trustees, and other interested parties were given the opportunity to ask questions concerning the study, discuss issues of concern to them and make suggestions concerning the future of Library Systems.

All Library Systems, Central Libraries and Co-Central Libraries were surveyed. A random sample of member libraries was also surveyed as was a sample of libraries that were eligible for System membership but which were not System members. The surveys provided quantitative data on (1) extent of service provision and use (and costs for Library Systems and Central Libraries), (2) member library ratings of importance of and satisfaction with System services, and (3) opinions and attitudes concerning the five study components (mission and services, governance, intersystem relationships, funding, and measurement). A copy of survey instruments, survey instructions, and a glossary of terms are given for all three types of surveys in Appendix D.

Secondary sources of data and information were studied to provide additional evidence leading to study findings and recommendations. The secondary sources included information and data provided to the Division of Library Development (DLD) by Library Systems, DLD annual and other reports,

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studies done by King Research for the Federal government and individual states, and studies done by others.

Nine regional meetings were held to obtain feedback on a document, "Preliminary Study Findings and Recommendations," that was widely distributed prior to the meetings. Meetings were held with various Library System and library directors associations which had expressed an interest in discussing the Library Systems Study with the study team. Eight meetings were held with the project Advisory Committee throughout the duration of the project to review the plans for and the results of the project. The project involved a great deal of communication with and participation of interested parties. King Research emphasized the need for broad communication throughout the study and stressed the opportunity for participation by all those affected by Library Systems in New York State. The personal interviews with Library System directors and staff lasted over two hours. The open meetings following the interviews lasted at least one hour and were generally well-attended. A few times no one came, but more often the meetings involved 10 to 25 persons. The regional meetings were attended by over 400 persons and we received well over 100 written responses, many of which were presented at the regional meetings. We have attempted to give everyone the opportunity to express concerns, provide suggestions and discuss the project.

2.3.1 Library System Survey

The Library System survey instruments (i.e., questionnaires) were sent to all Library Systems except the three New York City Consolidated Systems. Personal interviews were conducted with the two directors from The New York Public Library and directors from Queens Borough and Brooklyn Public Libraries. The Library System survey instruments, transmittal letters, survey instructions, and a glossary were tailored to each of the three types of Library Systems. A pretest of the Library System survey was conducted in which a survey instrument was sent to 14 Library Systems to make sure the Library Systems understood and could answer the questions. Following the pretest, some changes were made to simplify the survey instruments. All of the survey instruments, letters, instructions and glossaries are provided in Appendix D.

A critical component of the Library Systems survey (and Central Library survey -- see Section 2.3.2) was provision of the input cost and output quantities (i.e., amount of services) for each service. Most Library Systems do not routinely keep these data, nor know how to do "cost finding" in their operations. To help Library Systems provide these critical data, King Research held two workshops (in Syracuse and New York City) which were attended by Library Systems representatives. A handout was provided with guidelines, suggestions and examples of how to prepare needed cost and amount of services data. Examples of questions given on the survey instrument were also provided.

The survey instruments contained the following parts:

(1) Library System services, resources and activities. In this part was a list of all services provided by the Library Systems. For each service we asked (1) if the service is provided; (2) if not now, is it planned within two years; (3) the quantity of services provided by the Library System headquarters; and (4) all costs associated with labor only, other variable costs, fixed costs and contract or grant amount to provide the service. A glossary and instructions accompanied this part.

(2) Automation. In this part we determined whether or not automation was used for 14 specific services (or other), and if automation was planned in two years and in five years.

(3) Needs, concerns and issues. In this part we provided Library System directors the opportunity to comment on urgent needs, concerns and issues regarding their Systems and member libraries, governance, role of Library Systems, funding, cooperation among Library Systems and types of Library Systems, and adoption of performance and accountability measures.

All 76 Library Systems returned the survey instrument. However, not all Library Systems completed all of Part 1 of the survey instrument. One PLS did not complete this part at all, one PLS completed only the question on whether the services were provided, and several Library Systems mostly completed only quantities (1 RRLRS, 7 SLS), only cost (1 PLS, 1 SLS), or combinations of these for certain services. (See below for how we processed and analyzed these item non-responses.)

There are two types of error in survey results. One type of error is due to the fact that estimates are calculated from samples rather than a census of the entire population. There are statistical methods for measuring the precision of estimates made from samples (i.e., standard errors). These methods are discussed in Section 2.3.3, Member Library Survey, where estimates are made from samples. The second kind of error (called bias) is due to other causes such as the inability of respondents to respond accurately, results of respondents being different from those of non-respondents, calculations being done improperly (e.g., not weighting responses) and so on. Unfortunately there is no way of measuring the accuracy (i.e., bias) of survey results. However, one can take steps to avoid bias. Steps taken on this project to avoid bias are described below.

The survey of Library Systems was a census; thus, measuring standard error was not relevant from a mathematical standpoint even though we experienced some non-response. Three procedures were employed to help avoid bias or lack of accuracy in Library Systems survey results:

- We reviewed and checked every response to the survey in terms of its reasonableness.
- A statistical method (imputation) was used to derive estimates that could accurately replace non-responses.
- All overall estimates of costs and amounts of services were compared with other reported or known data.

Every item response to the Library System survey was reviewed and edited. Average costs were derived to use as an editing tool. That is, for each of the 117 services and for each type of Library System an overall average cost was calculated (by dividing total costs for all Library Systems by total amounts for all Library Systems). These overall averages were compared with the calculated average cost from each Library System. When a Library System's average cost was judged to be either too high or too low (compared with overall average cost), we examined the cost response and amount of services response to see if one or the other appeared out-of-line. If they did we sometimes contacted the Library System to account for the apparent anomaly. We found, for example, that some Library Systems gave quantities (e.g., number of items retrospectively converted) that represented all that had been done to date and not just those for the most recent year. Sometimes Library Systems reported quantities of services for all of the System participants, not just the headquarters (this was particularly the case with ILL). Such mistakes were identified and corrected during personal interviews with Library System directors or by telephone contact with them. Another example of an error that was identified involved costs. Some Library Systems reported total costs in the Contract/Grant column (i.e., the last column of the survey instrument). This error was identified and corrected by our staff.

Another special procedure employed in the analysis of service quantities and costs involved imputation for instances in which complete data were not provided (in Part 1 of the survey instrument). Imputation is a method used by statisticians to address non-responses (either for the entire questionnaire or for specific items on questionnaires). In effect what is done is to make a best estimate for non-responded questions and replace the non-responses with an estimated value. This is necessary for estimating total costs or total amounts of services of Library Systems. When a Library System did not respond at all, we merely substituted average amounts of services and average costs that were calculated from the responses of the other Library Systems. These averages were calculated from responses from Library Systems of their type (i.e., PLS, RRLRS, or SLS). Sometimes we had data from which we could make better estimates. For example, when quantities were given but costs were not we took advantage of estimates of overall average costs to calculate cost of labor, other variable costs and fixed costs (and, thus, total costs). If, for example, a Library System reported providing 1,000 items but not the cost of providing these items we estimated costs by taking the estimated overall average cost of the service, say $2.46 per item, times 1,000 to yield estimated total costs of $2,460 for that Library System.

The following steps were taken to derive imputed values:

- Within each type of Library System, all responses for a service for which both quantities and costs were provided were identified.
- Overall average costs (i.e., cost per unit of transaction) were computed for each service using these observations.
- For each service, when only quantities were given, values for costs were imputed by multiplying observed quantities by overall average costs.
- For each service, when only costs were given, values for quantities were imputed by dividing observed costs by overall average costs.
- Quantities and costs were imputed for those Library Systems that provided neither by using overall average quantities per Library System and overall average cost per Library System.

Note that only responses that included both quantities and costs were used for computing medians, quartiles, economies of scale, upstate vs. downstate comparisons, automation comparisons, factors related to funding formulas, and so on (see Section 2.2.2). The reason for this is that substituting imputed values would distort these descriptions and displays. For example, if we had three imputed values of average costs of a service and used them for determining medians, quartiles, etc., they would all be near the median which would change the quartile values (i.e., closer to the median than is true).

We also compared each Library System's total costs with known values reported to DLD. Amount of services was not required to be reported by some Systems or for many services. One reason for estimating average costs of services is to provide Library System managers and their Boards with a norm against which to compare their operations. Some Library System directors have suggested that they were unable to make accurate estimates of costs for the Library System Survey. It is possible that a System shows comparatively "high" average costs for a few services because of this inability to estimate costs accurately. However, since the total budget is known, if the estimated costs of some services were too high, others must be too low. Otherwise, there is strong evidence that the System is not operating efficiently.

Another analytical procedure involved the allocation of labor fringe benefits, overhead and administrative costs, and un-allocated computer costs. The allocations were done in three steps (after the imputations were made) as follows:

- Labor fringe benefits were allocated to services in proportion to the cost of labor for the services. That is, if one service accounted for one-fifth of the labor costs, this service was allocated one-fifth of the labor fringe benefit costs.
- Un-allocated computer costs were allocated to appropriate services in proportion to all other costs (including fringe benefits on labor) for those services.
- All overhead and administrative costs were allocated to services in proportion to all other costs for these services, including allocated fringe benefits and allocated computer costs, but not including contract costs (since they were already identified).

Total costs for services provided throughout the Report include imputed values and these allocations of labor fringe benefits, computer costs, and overhead and administrative costs.

2.3.2 Central Library Survey

The Central Library (CL) survey was similar to the Library System survey in that all CL were sent a survey instrument which was similar to those sent out to the Library Systems. A copy of the survey instrument is given in Appendix D. We received 16 responses from a mail-out of survey instruments to 23 CL. We checked to see if we could detect any bias in the type of Central Libraries that did not respond. In terms of population served the non-responsive libraries tend to be in the middle range. The average size of population served by non-responding CL is 56,400 people and the average for responding CL is 63,500 people. Non-responding CL include both city and county public libraries in about the same proportion as responding CL.

The Central Library survey instrument duplicated parts 1, 2, and 3 of the Library System questionnaire (see above). However, we asked a series of additional questions to address the role and funding of Central Libraries in the State (see Section 6.7). For example, we asked questions of the CL concerning:

- For non-local patrons, items circulated from Central Book Aid (CBA) and "local" collections and in-house reading from these two collections.
- Number of patrons and number of visits by those patrons living in local community and those not in local community.
- Purposes of use of CL services.
- Distance of non-local patrons to CL.
- Number of ILL items borrowed for non-local and local patrons.
- Amount of reference, referral and research done for local patrons, non-local patrons, and other member libraries.
- Approximate number of acquisitions and total collection size for Central Book Aid (CBA). The same for non-CBA collection.
- Annual costs of CBA collection (labor, other variable, fixed) for specific activities such as collection development, collection management, circulation, shelving, acquisitions, mail processing, cataloging, catalog maintenance, physical processing, etc.

We recognized the potential difficulty of CL providing the additional CL data above and asked the respondents to indicate whether responses were known data, reasonable estimates or reasonable guesses. If they had no idea of numbers or amounts, the respondents were asked to indicate this by recording an unknown. We feel that on balance the CL survey data are not as reliable as the other survey data. However, we present them in this Report as evidence, with the caveat on their reliability. Imputations and projections were developed using the same methods as discussed for the Library System survey.

2.3.3 Member Library Survey

There are 4,593 member libraries in the State. The member library survey involved the following stratification by type of library.

Table 2.1

SAMPLE SIZE AND RESPONSE FOR MEMBER LIBRARY
SURVEY BY TYPE OF LIBRARY: 1988

Total Libraries	Survey Mail-out	Survey Response	Response Rate (%)	
PLS members	731 (1)	330	186	56%
RRLRS members	655 (1)	336	95	28%
SLS members	3,207 (2)	327	156	48%
TOTAL	4,593	993	437	44%

SOURCE: King Research, Inc.

(1) 1987 Directory of Library Systems in New York State.
(2) Includes all "participants" in SLS (i.e., building level).

We consider all but the RRLRS members to be sufficient response rates. All non-respondents were followed-up by a second mailing. The samples of PLS and RRLRS members were chosen randomly from listings of member libraries given in the **1987 Directory of Library Systems in New York State**. The sample of SLS members was chosen randomly from listings of school districts and appropriate school buildings in the State.

The survey instrument was tailored to each type of library as were the accompanying letters, instructions and glossary of terms. These instruments are given in Appendix D. The member library survey instrument had five distinct parts as follows:

- Use of Library System services. This part listed all appropriate Library System services and a space was allotted to add services that we overlooked. For each service, we asked the amount of services provided by each of the following sources of services: PLS, RRLRS, SLS and other system, library or service. The units of quantities (e.g., books borrowed) were specified in the survey instrument for each service. For each service we asked the member libraries to rate its importance on a scale of 1 to 5. For each service, we asked the member libraries to rate their satisfaction (scale of 1 to 5) with each source from which they received the service.

- Provision of services to other libraries. In this part we asked member libraries to record the amount of services provided to other Library System members and other libraries.

- Needs, concerns and issues regarding Library Systems. In this part we provided member libraries the opportunity to provide their opinions and attitudes concerning their Library System and Systems in general, services, governance, funding, intersystem relationships, and so on.

- Automation. Each library was asked to indicate whether or not it used (planned or was considering) automation for various library activities.

- Library demographics. In this part we asked libraries to which Library Systems they belonged, number of patrons, number of persons in community served, size of collection, amount of reference services provided, staff size, budget and awareness of Library Systems.

We attempted to reduce survey bias in much the same manner that we did with the Library System and Central Library surveys. All of the returned questionnaires were edited and appropriate corrections made. Sometimes respondents were telephoned to validate responses. Item non-responses were corrected by imputing averages for appropriate library type. Totals (and averages) were computed by weighting responses to totals for groups of libraries (i.e., cells) where cells were library-type by region.

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2.3.4 Statistical Precision of Estimates from Sample Surveys

Below is given a discussion of statistical precision of estimates made from sample surveys such as the member library survey. The section is written for persons interested in the precision of the member library survey results. There are basically three kinds of estimates made from the member library survey: totals (e.g., total number of requests made from PLS), averages or means (e.g., average satisfaction ratings) and proportions (e.g., percent of member libraries that use a service). Each type of estimate is subject to error since it is made from a sample. Even though the accuracy of survey estimates is very difficult to observe and is not measured, statistical methods are available for measuring the precision of estimates. The precision of estimates is commonly measured by standard error and represented by confidence intervals. For example, confidence intervals for an estimated proportion of 0.50 (or 50%) with a simple random sample size of 200 might be displayed as:

50% ± 3.5%; at 68% level of confidence

Simply said, this means that the true proportion for the entire population has a 68 percent probability of being in the confidence interval, that is, between 46.5 percent and 53.5 percent. At the 68 percent level of confidence the width of the confidence interval (±) is one standard error (i.e., standard deviation divided by square root of sample size). One can easily determine confidence intervals for any desired level of confidence by multiplying the standard error (i.e., 3.5 percent above) by a constant factor. For example, to estimate the confidence interval at 95 percent level of confidence, one needs merely to multiply the standard error by the factor 1.96 (i.e., 1.96 standard errors). The confidence interval above would then be expressed as:

50% ± 6.9%; at 95% level of confidence

The factor for estimating 90 percent levels of confidence is 1.64 (i.e., 1.64 standard errors), and it is 3.00 for estimating 99.8 percent levels of confidence.

The estimated standard error of estimates (which determines the width of confidence intervals) will vary depending on four factors:

(1) **Sample size (n).** For example, the estimates of proportions above are estimated from a sample size of 200 observations. If one doubled the sample size to 400, the confidence interval would decrease from 3.5 percent to 2.5 percent at 68 percent level of confidence. If the sample size were reduced to 100, the confidence interval would increase from 3.5 percent to 5.0 percent at 68 percent level of confidence.

(2) **Sample size (n) relative to population size (N).** If the sample size were in fact the entire population, the standard error and therefore confidence interval at all levels would be zero. The example above assumes that the sample size is very small compared with the population size. Since the sample size of some types of member libraries may be reasonably high compared with the population of members, there is some gain in reduced standard errors (thus confidence intervals). For the example above, if one assumes that a sample of 100 users of a service is from a population of 655 members the standard error would decrease from 5.0 percent to 4.6 percent.

(3) **Inherent variability of observations.** For example, if specified levels of importance of interlibrary lending services ranged from 1 to 5, the standard error for the estimated average level of performance would probably be greater than estimates in which levels ranged from 3 to 5.

(4) **Sample Design.** A survey can be improved in terms of decreasing estimated standard errors (at a given sample size) by statistical sample design (e.g., stratification, ratio estimation, etc.).

Examples of one standard error (i.e., 68% level of confidence) for various sample sizes and estimated proportions (%) are given in Table 2.2.

Table 2.2

STANDARD ERRORS FOR ELEVEN PROPORTIONS BY EIGHT SAMPLE SIZES

Sample Size (n)	Estimated Proportion					
	5%/95%	10%/90%	20%/80%	30%/70%	40%/60%	50%
25	4.3	6.0	8.0	9.2	9.8	10.0
50	3.1	4.2	5.7	6.5	6.9	7.1
75	2.5	3.5	4.6	5.3	5.7	5.8
100	2.2	3.0	4.0	4.6	4.9	5.0
150	1.8	2.4	3.3	3.7	4.0	4.1
200	1.5	2.1	2.8	3.2	3.5	3.5
250	1.4	1.9	2.5	3.0	3.1	3.2
400	1.1	1.5	2.0	2.3	2.4	2.5

SOURCE: King Research, Inc.

(1) Note that complementary proportions (i.e., 95% for 5%, 70% for 30%, etc.) have exactly the same standard errors.

This table can be used in two ways:

- The first way to use the table is to determine what sample size is necessary to obtain certain standard errors.
- The second way to use the table is to determine roughly what standard errors are for sample responses of various sizes.

For example, if one expects about 30 percent of member libraries to use Library Systems and is willing to accept a standard error of 5 percent or confidence intervals of about 30 percent ±5 percent (or about 25 percent and 35 percent) at 68 percent level of confidence, a sample size of about 85 is sufficient. Note, however, that this means 85 completed responses (not the number of questionnaires mailed). Assume that a sample of 156 responses was received and the proportion of members who used the service was estimated to be 10 percent. The standard error is about 2.4 percent. Thus, the confidence level for this estimate would be about ±2.4 percent at the 68 percent level of confidence or ±4.7 percent at the 95 percent level of confidence.

In order to demonstrate the statistical precision of estimates derived from the member library survey, we have calculated standard errors for six measures (number of member libraries that use the service, number of non-member libraries that use the service, amount of service used by member and non-member libraries, average importance of service and average satisfaction of service) for three services (interlibrary loan request processing; acquisitions and ordering; and online bibliographic searching) and by type of Library System or type of member library. For each measure we provide the sample size, estimate of the measure, and standard error of the estimate. Estimates for which standard errors are calculated are found in Section 3.8.3 for ILL request processing and Appendix C for all three services. These results are presented in Tables 2.3 through 2.8 at the end of this section, following comments concerning the tables. Each distinct service provided by Library Systems was assigned a unique code in the questionnaires. These codes have been maintained throughout the study and this Report.

The estimated standard errors for the number of member and non-member libraries can roughly be determined from the tables of proportions above, since the number of libraries can be determined from the proportion of libraries. For example, there are 731 public libraries. If we estimate that 171 of them use a service such as online bibliographic searching (see Table 2.3) the proportion is 23 percent (i.e., 171 divided by 731) based on a sample size (n) of 186 public libraries (of which 43 use the service). The standard error from Table 2.2 values would lie between 2.8 percent (20% and n = 200) and 3.7 percent (30% and n = 150). The standard errors can be converted to number of libraries by multiplying them by the population total (i.e., 731 public libraries). Thus, the estimated standard errors based on the table value would lie somewhere between 20 and 27 public libraries. This gives one a good idea of the precision of these estimates. The value of the standard error calculated from the sample is in fact estimated to be 22.6 public libraries. Note that we prefaced our comments by indicating the standard errors in Table 2.2 are "rough" estimates. The methods above to calculate standard errors assume a pure simple random sample of member libraries. In fact we used a stratified random sample. This means that, if there are significant differences in estimates among strata, the estimated standard errors would be smaller than the ones estimated based on a simple random sample. Also, these estimates of standard errors are not adjusted to account for sample sizes close to population sizes. Thus, the tabled standard errors are conservative estimates.

In Table 2.4, which involves non-member libraries, the sample sizes are larger than for Table 2.3 because the sample of non-member libraries includes two types of libraries. For example, the PLS non-member libraries include both RRLRS member libraries and SLS member libraries. In Table 2.6 the opposite is true since values in Table 2.5 (amount of services from all libraries) involves all sampled libraries and for non-members it is two of the three types of libraries.

It is clear that sample size makes an appreciable difference in the statistical precision of estimates. The sample sizes for estimating the number of libraries that use a service and the amount of service used, is about the same as the sample sizes given in Table 2.1 and reflected in Tables 2.3 through 2.6. Sample sizes for estimating average importance and satisfaction ratings depend on the extent to which these services are used and, thus, these sample sizes can be quite small. Thus, these sample sizes are denoted in Appendix C for reference.

One can roughly test whether the differences observed in average ratings between types of library systems are statistically significant by determining whether or not confidence intervals overlap. If they overlap they are not statistically significant. That is, the observed differences may be due to sampling error. Referring to Table 2.8 and comparing satisfaction with ILL request processing, we find that differences between CL and SLS as well as RRLRS and SLS are significantly different at 0.68 level of confidence. The other differences may in fact be appreciably different, but we do not know because sample sizes are not sufficiently large to know with confidence.

One can also compare importance between services. For example, referring to Table 2.7, we find that the average importance rating of online bibliographic searching is appreciably and statistically significantly below those of ILL request processing and acquisitions and ordering (at both 0.68 level of confidence and 0.95 level of confidence).

Table 2.3

SAMPLE SIZE, NO. OF MEMBER LIBRARIES THAT USE SERVICE AND STANDARD ERROR FOR THREE SERVICES BY TYPE OF LIBRARY SYSTEM IN NEW YORK STATE: 1988

Type of Service (service code)	Type of Library System	Sample Size	No. of Member Libraries	Standard Error
ILL Request Processing (1.1)	PLS	186	731	Unk(1)
	RRLRS	95	422	32
	SLS	156	2,083	122
Acquisitions and Ordering (4.4)	PLS	186	455	26
	RRLRS	95	38	16
	SLS	156	0	Unk(1)
Online Bibliographic Searching (4.12.2)	PLS	186	171	23
	RRLRS	95	128	27
	SLS	156	362	81

SOURCE: King Research, Inc. Member Library Survey (N = 4,593; n = 437)

(1) When all or none of the sample has the observed characteristics the estimated standard error is zero. In these instances fiducial limits can be used.

Table 2.4

SAMPLE SIZE, NO. OF NON-MEMBER LIBRARIES
AND STANDARD ERROR FOR THREE SERVICES BY TYPE OF
LIBRARY SYSTEM IN NEW YORK STATE: 1988

Service (service code)	Type of Library System	Sample Size	No. of Non-Member Libraries(1)	Standard Error
ILL Request Processing (1.1)	PLS	251	591	88
	RRLRS	342	274	54
	SLS	281	56	16
Acquisitions and Ordering (4.4)	PLS	251	0	Unk(2)
	RRLRS	342	0	Unk(2)
	SLS	281	0	Unk(2)
Online Bibliographic Searching (4.12.2)	PLS	251	57	29
	RRLRS	342	11	4.4
	SLS	281	0	Unk(2)

SOURCE: King Research, Inc. Member Library Survey (N = 4,593; n = 437)

(1) Non-member libraries are users of Library Systems other than the type to which they are members.

(2) When all or none of the sample has the observed characteristics the estimated standard error is zero. In these instances fiducial limits can be used.

Table 2.5

SAMPLE SIZE, TOTAL AMOUNT OF SERVICE USE BY ALL LIBRARIES AND STANDARD ERROR FOR THREE SERVICES BY TYPE OF LIBRARY SYSTEM IN NEW YORK STATE: 1988

Service (service code)	Type of Library System	Sample Size	Amount of Service Use (000)	Standard Error (000)
ILL Request Processing (1.1)	PLS	428	630	67
	RRLRS	431	216	43
	SLS	434	155	27
Acquisitions and Ordering (4.4)	PLS	269	812	119
	RRLRS	280	2.0	1.6
	SLS	281	0	Unk(1)
Online Bibliographic Searching (4.12.2)	PLS	409	3.2	1.1
	RRLRS	435	6.7	4.3
	SLS	433	1.0	0.3

SOURCE: King Research, Inc. Member Library Survey (N = 4,593; n = 437)

(1) When all or none of the sample has the observed characteristics the estimated standard error is zero. In these instances fiducial limits can be used.

Table 2.6

SAMPLE SIZE, TOTAL AMOUNT OF SERVICE USE BY NON-MEMBER LIBRARIES (1) AND STANDARD ERROR FOR THREE SERVICES BY TYPE OF LIBRARY SYSTEM IN NEW YORK STATE: 1988

Service (service code)	Type of Library System	Sample Size	Amount of Service Use (000)	Standard Error (000)
ILL Request Processing (1.1)	PLS	252	9	4.3
	RRLRS	337	13	7.0
	SLS	278	3	1.7
Acquisitions and Ordering (4.4)	PLS	252	0	Unk
	RRLRS	342	0	Unk
	SLS	278	0	Unk
Online Bibliographic Searching (4.12.2)	PLS	252	1.0	1.0
	RRLRS	342	0.1	0.1
	SLS	278	0	Unk

SOURCE: King Research, Inc. Member Library Survey (N = 4,593; n = 437)

(1) Service use from Library Systems other than the type to which they are members.

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Table 2.7

SAMPLE SIZE, AVERAGE IMPORTANCE RATING (1)
AND STANDARD ERROR FOR THREE SERVICES BY TYPE OF
MEMBER LIBRARY IN NEW YORK STATE: 1988

Service (service code)	Type of Member Library	Sample Size	Average Importance	Standard Error
ILL Request Processing (1.1)	PLS	146	4.84	0.04
	RRLRS	63	4.79	0.10
	SLS	92	4.74	0.07
	Total	301	4.77	0.03
Acquisitions and Ordering (4.4)	PLS	109	4.71	0.06
	RRLRS	7	5.00	0.30
	SLS	-	-	-
	Total	116	4.80	0.06
Online Bibliographic Searching (4.12.2)	PLS	36	3.89	0.19
	RRLRS	21	4.76	0.09
	SLS	23	4.36	0.19
	Total	80	4.36	0.11

SOURCE: King Research, Inc. Member Library Survey (N = 4,593; n = 437)

(1) Rating of importance 1 to 5 with 1-very unimportant, 5-very important.

Table 2.8

SAMPLE SIZE, AVERAGE SATISFACTION RATING (1) AND STANDARD ERROR FOR THREE SERVICES BY TYPE OF LIBRARY SYSTEM IN NEW YORK STATE: 1988

Service (service code)	Type of Library System	Sample Size	Average Satis-faction	Standard Error
ILL Request Processing (1.1)	PLS	148	4.45	0.06
	CL	31	4.26	0.16
	RRLRS	77	4.38	0.09
	SLS	97	4.59	0.09
Acquisitions and Ordering (4.4)	PLS	101	4.04	0.11
	CL	10	4.18	0.44
	RRLRS	6	3.39	0.33
	SLS	-	-	-
Online Bibliographic Searching (4.12.2)	PLS	32	4.24	0.21
	CL	7	3.04	0.49
	RRLRS	16	4.39	0.16
	SLS	17	3.31	0.27

SOURCE: King Research, Inc. Member Library Survey (N = 4,593; n = 437)

(1) Rating of satisfaction 1 to 5 with 1 - very dissatisfied, 2 - dissatisfied, 3 - neither satisfied nor dissatisfied, 4 - satisfied, 5 - very satisfied.

SECTION 3

LIBRARY SYSTEM MISSION AND SERVICES

3.1 BACKGROUND TO LIBRARY SYSTEM MISSION AND SERVICES

In this section we provide a detailed description of Library System services in the State of New York. Section 3.2 deals with the mission and roles of the three types of Library Systems: Public Library Systems (PLS) and Central Libraries (CL), Reference and Research Library Resources Systems (RRLRS) and School Library Systems (SLS). In this section we describe the laws and regulations with particular attention to service provision. Section 3.3 provides a summary of findings concerning Library System services. Most of the formal recommendations dealing with services are found in that section. Section 3.4 provides a summary description and analysis of Library System services including such factors as (1) who provides services to whom and in what amounts; and (2) the relative importance of, costs of and satisfaction with services. Section 3.5 provides a list of suggested basic Library System services. Section 3.6 describes the use of automation and related technology.

An example of the detailed analyses of services performed on a service by service basis is given in Section 2.2 (the full set of analyses is presented in Appendix C.) In particular we present data for each of the three types of Systems by:

(1) Who provides services to whom, including number of Systems that provide the service, plan to provide it, and which services are provided by Library System Headquarters (as opposed to Central Libraries or other member libraries); number of member libraries that use the service (by the number of member libraries that use the System services and by libraries that are not primarily served by the System); amount of the services used (by member libraries that use System services and by libraries using the services that are not primarily served by the System); and the quantity, cost and average cost of services provided by Library System Headquarters.

(2) Importance of services and satisfaction with services rated by member libraries on a scale of one to five.

(3) Average unit costs presented in quartiles and factors that affect cost, such as economies of scale, use of automation, and upstate vs. downstate costs.

(4) Relationship of funding formula factors (population, area, density) to costs.

Individual Library Systems should be able to use these data to compare with their own System's data to see (1) if their average costs are high, average or low (most services have quartiles of average cost displayed), (2) whether they are operating above or below the "critical mass," and (3) whether there are other factors related to their operations which affect the costs and/or performance of services. DLD should also be able to use the data to develop cost and performance "norms" which can be used to review System costs and performance.

3.2 LIBRARY SYSTEM MISSION/ROLES

The Library Systems included as part of this study include 21 Public Library Systems (PLS), the nine Reference and Research Library Resources Systems (RRLRS) and the 46 School Library Systems (SLS). See Section 2.2.1 for an explanation of which Library Systems were included in the study. The list of Library Systems included is given in Appendix A.

3.2.1 Public Library Systems

Laws and Regulations

The establishment of Public Library Systems was authorized by Education Law in 1950. Between 1950 and 1958 a total of eight Public Library Systems were established. In 1958 the Law was revised to authorize the establishment of Cooperative Public Library Systems. As a result of this revision, the number of Public Library Systems grew dramatically between 1958 and 1961 when all counties in the State were included in Public Library Systems.

Public Library Systems are defined in the law as:

1. A library established by one or more counties.
2. A group of libraries serving an area including one or more counties in whole or in part.
3. A library of a city containing one or more counties.
4. A Cooperative Library System established pursuant to Chapter 933, Laws of 1958, the plan of library service of which shall have been approved by the Commissioner of Education.

Minimum standards for Public Library Systems are also set by law. A Public Library System must:

1. Serve at least 200,000 people, or
2. An area of at least 4,000 square miles.

The law does not actually specify a mission or role for Public Library Systems. However, in Section 255 "Establishment of a Public Library," it states that the establishment of a cooperative Library System should:

> "result in improved and expanded library service to the area."

The long-range program for library services statewide, **Library Service to the People of New York State**, refers to typical functions of a Public Library System as:

> "coordination of services; extension of service to all parts of the area; cooperative development of Central Library collections; education and in-service training; experimentation and evaluation; resource sharing through union catalog services, loan of film and video materials, interlibrary loan, interface with NYSILL network and delivery service; and program development."

The Commissioner's Regulations also provide insight into the role of Public Library Systems. All Public Library Systems shall:

> "provide for the free direct use, by all residents of the area served, of the total library resources within the system by acceptance by all libraries in the system of a borrower's card issued by the system or by any library in the system, to be honored on the same basis as that specified for cardholders in each individual library. No such resident shall be excluded from free direct use because of age."

There are some terms and conditions which allow members of a Public Library System to restrict access to their collections, but clearly the preference is for unrestricted access. An example of restricted access is that Public Library System member libraries are not required to provide free direct access to their materials to residents of a jurisdiction of 10,000 population or more which has not established or maintained a public library or which is not contracting for public library service. Furthermore, the loan of specific materials purchased by local funds to people living outside the chartered service area of a member library may be restricted if failure to do so would result in serious inequities and hardships to the residents of the member library's service area. Such restrictions on loans must be restricted to nonprint materials and equipment, and print materials less than one year old.

Additional roles assigned to the Public Library Systems in the Commissioner's Regulations are:

- "assist various economic, cultural, civic and age groups in deriving maximum benefit from library resources.
- coordinate reference and interlibrary loan programs and functions with the approved plan of the RRLRS system of which the PLS is a member.
- coordinate outreach and provide assistance to persons who are educationally disadvantaged, members of ethnic or minority groups in need of special library services, unemployed and those in need of job replacement assistance, those who are living in areas underserved by a library, blind, physically handicapped, aged or confined in institutions."

Current Role

Public Library Systems are currently providing many different services to their members. The main areas of service provided are:

(1) Interlibrary Lending and Borrowing.

(2) Interlibrary Loan Support Mechanisms.

(3) Access to Other Shared Collections.

(4) Reference, Referral and Research.

(5) Performance of Library Operational Functions.

(6) Direct Services to Users.

(7) Support of Library Development

(8) Enhancement of Interlibrary Cooperation.

(9) Member Library Participation.

Details of the numbers of Public Library Systems providing specific services within the nine areas defined above, are provided in Section 3.4 and Appendix C.

Each Public Library System is required to prepare and submit a plan of service which includes at least the following elements:

- "provides for the free direct use, by all residents of the area served, of the total library resources within the system by acceptance by all libraries in the system of a borrower's card issued by the system or by any library in the system, to be honored on the same basis as that specified for cardholders in each individual library (subject to the exclusions referred to earlier in this subsection)
- includes a description of the means by which the various economic, cultural, civic and age groups will be assisted by qualified personnel in deriving maximum benefit from library resources
- provides for coordination of the reference and interlibrary loan programs and functions of the Public Library System with the approved plan of the RRLRS of which it is a member

- shows how coordinated outreach services to people who are educationally disadvantaged, members of ethnic or minority groups in need of special library services, unemployed and in need of job placement assistance, living in areas underserved by a library, blind, physically handicapped, aged or confined in institutions will be developed and implemented throughout the Public Library System service area."

Note that the Public Library Systems are providing five general types of service to their members. First are services that enhance and complement services provided by the member libraries themselves. These include interlibray loan-related services, reference, referral and research, and access to other shared collections. Second are services provided by Library Systems which replace the need by the member library to perform the work. This kind of service includes performance of library operational functions such as circulation control, cataloging, printing, etc. The third kind of service involves direct services to patrons that are not provided by member libraries such as Outreach. Bookmobile Services are providing services to those who would not otherwise receive service. The fourth type of service relates to supporting library development of member libraries so that they become more able to serve the needs of their own users. This category of service includes consulting, grant preparation and administration, and continuing education. The fifth type of service involves member library participation and services to enhance cooperation, such as cooperative collections development, direct access to member collections and communication. The Public Library Systems' total estimated (Library System survey) costs of $35.5 million are divided across these service types as follows:

- Enhancement of library services: $10.1 million (28.6%)
- Performance of library operational functions: $10.5 million (29.5%)
- Direct services to patrons: $4.3 million (12.0%)
- Support of library development: $3.9 million (10.9%)
- Enhancement of cooperation and communication: $2.3 million (6.7%)

The remainder of the costs are for computer facilities that are not allocated to services. This comes to $4.3 million (12.3%).

3.2.2 Central Libraries

Laws and Regulations

Each Public Library System must have a 10-year plan for further development of its Central Library approved by the Commissioner for Education. The Public Library System's plan of service must designate one or two Central Libraries.

The Central Library is designated as the "resource" library for the Public Library System and receives funds (Central Book Aid) to develop and add to its collection of adult non-fiction or foreign language materials. The purpose of such collection development is:

"1. to support systemwide needs for adult non-fiction or foreign language materials.

2. to make such materials available to System area residents through adequate hours of service, facilities and staff.

3. to provide a unified means for locating the total holdings of the Central Library.

4. to provide information service and bibliographical assistance to residents of the System service area."

Central Libraries also receive Central Library Development Aid which may be used for a variety of expenditures for developing Central Library services (see Section 6.7).

Standards for Central Libraries are specified in the Law and Regulations as follows:

- "local expenditures excluding capital expenditures for support of the CL from other than State and Federal funds must not be less than $3 per capita,

- the CL must provide an annual average of at least 55 hours per week of service, and not less than the minimum weekly hours required for registration of public, free association and Indian libraries:

Population	Minimum Weekly Hours
<500	6
500 - 2,499	12
2,500 - 4,999	18
5,000 - 24,999	30
25,000 - 99,999	45
>100,000	60

- the CL must provide for at least two full-time professional positions financed from other than Federal funds."

Current Role

The bulk of Central Library (CL) services involves interlibrary lending and borrowing, access to materials by "local" and "non-local" patrons, and reference, referral and research services. Details of the numbers of Central Libraries providing specific services and quantity and cost of services are provided in Appendix C.

Note that only 16 of 23 Central Libraries responded to the survey. The values of quantitites and costs for the non-respondents are imputed and, therefore, the results displayed below represent all 23 Central Libraries. We generally consider the CL survey data to be "softer" than results reported from other surveys, based on respondent expressions of their inability to provide exact data. With this caveat in mind, the estimated CL costs associated with the four principal services above are:

- Interlibrary lending and borrowing: $1.4 million
- Access to materials by "local" and "non-local" patrons: $2.3 million
- Access to other shared collections: $1.4 million
- Reference, referral and research: $1.5 million

In addition, the Central Libraries report costs (1) of other reported services, (2) to operate computer and other facilities, (3) to administer (CBA) grants and (4) to assist in member library participation in System. These costs are estimated to be $267,00; $482,000; $30,000; and $41,000 respectively. The total costs to Central Libraries for providing Library System services are estimated to be $7.4 million. Again, we caution that these data are considered "soft." (See Section 6.7 for further discussion.)

3.2.3 Reference and Research Library Resources Systems

Laws and Regulations

The establishment of RRLRS was authorized by Education Law at the end of 1978, although chartering took place between 1964 and 1967. The RRLRS are chartered educational institutions resulting from the association of a group of institutions of higher education, libraries, non-profit educational institutions, hospitals and other institutions. The area served by an RRLRS should be:

"1. No less than 750,000 persons, or

2. No less than 10,000 square miles."

Furthermore, the defined area of service shall:

"1. include more than one county, and

2. respect the integrity of the area of service of a Public Library System, and

3. constitute a service area effectively related to the availability of information resources and services and to the area of service of other RRLRS, as determined by the Commissioner of Education."

The mission of these systems is:

"to improve reference and research library resources service."

Each RRLRS is required to submit a plan of service to the commissioner for approval. The description in the Law of the required contents of these plans of service give further indication of the intended mission/role of RRLRS. From a review of the Law it would appear that RRLRS should:

- "improve the library resources and services presently available in the area to the research community, including improved reader access.
- strengthen the library programs of its members.
- develop a System program that is appropriately related to regional programs in higher education.
- improve hospital library services and assist each hospital library to meet the Regents' standards for hospital libraries.
- assist each non-member hospital library or library serving a hospital to attain membership in the system."

In addition to these roles or functions, the RRLRS serves as an agent for the coordinated collection development aid program for academic libraries and coordinates and is the fiscal agent for the regional bibliographic database and interlibrary resource sharing grants.

The Commissioner's Regulations also add to the roles of the RRLRS. They shall plan to:

- "fully use local responsibility, initiative and support of library services and apply State Aid to assist their stimulation but not be used as their substitute.
- assure compatibility of their computerized and other technical operations with those of other Library Systems in the State and the New York State Library.
- identify special client groups, their needs and the means for meeting these needs.
- coordinate the means for locating library materials within System area and the procedures for accepting, verifying and responding to loan requests, including delivery.

- ensure that plans are compatible with the approved plans of service of other Library Systems in the region, through appropriate consultation with Public Library Systems, School Library Systems and the regional intersystem cooperative network.
- ensure that service programs are compatible with the Regional Medical Library network or other special library networks which also serve member libraries."

Current Role

The RRLRS are providing many services to their member libraries. The areas of service provision are similar to those provided by Public Library Systems, although the services are not necessarily provided to the same extent. They are:

(1) Interlibrary Lending and Borrowing.

(2) Interlibrary Loan Support Mechanisms.

(3) Reference, Referral and Research.

(4) Performance of Library Operational Functions.

(5) Support of Library Development.

(6) Enhancement of Interlibrary Cooperation.

(7) Member Library Participation.

Definitions are provided in Section 3.3.

The RRLRS have focused their efforts on the provision of services which enhance services provided by member libraries (rather than provide services which substitute for service provision by member libraries). More than one-half of their costs involve enhancement of library services (i.e., ILL-related services and reference, referral and research). RRLRS do provide some replacement-type operational services to their members, but to a much lesser degree than the Public Library Systems. Most of the remaining RRLRS costs are for enhancement of communications and cooperation, which is relatively much higher than PLS. The total estimated costs of RRLRS is $5.3 million. These costs are as follows:

- Enhancement of library services: $2.8 million (53.6%)
- Performance of library operational functions: $760,000 (14.3%)
- Support of library development: $821,000 (15.5%)
- Enhancement of cooperation and communication: $771,000 (14.6%)

The remaining costs involve unallocated computer facilities: $105,000 (2%).

3.2.4 School Library Systems

Laws and Regulations

The establishment of the School Library Systems was authorized in 1984. Each School Library System is composed of:

"1. school districts which are located within a BOCES service area; or

2. a school district serving a city with a population of 125,000 or more, or

3. a combination of the two options above."

The functions of the School Library Systems are set out in the Law and include, but are not necessarily limited to:

"1. creating and developing a union catalog of materials listing the resources of each participating school library.

2. developing a plan which will aid each participating school library in cooperative collection development.

3. adopting and implementing an interlibrary loan policy and program among participating school libraries.

4. assuring a method of effective delivery of library materials within the system.

5. promoting development programs and continuing education for staff of participating schools.

6. encouraging awareness of the resources and services available in participating school libraries.

7. cooperating with other Library Systems in resource sharing and other activities."

In addition, the Commissioner's Regulations specify the following functions for each School Library System:

"1. encouraging school districts and non-public schools not yet served to become members.

2. assuring compatibility in its computerized and other technical operations with those of other Library Systems of the State.

3. identifying and meeting special client group needs.

4. assuring continuing needs assessment and program development, including staff development needs, and the appropriate activities to meet those needs.

5. encouraging communication among members and participants regarding effective practices and cooperative projects.

6. conducting an annual evaluation of programs and services, preparing an annual report to members and other appropriate groups.

7. developing and implementing procedures for evaluating the appropriateness of combining or cooperating with an adjacent School Library System to provide more effective and efficient delivery of service to the members and participants in both Systems.

8. communicate and collaborate with the administrators and librarians of the schools in the area to be served, and with district liaisons or communications coordinators.

9. developing a specialized collection of selection and verification tools for use by System members.

10. advising member libraries and districts on program development and improvement and assisting with development and updating of members' plans.

11. serving as liaison to appropriate SED offices concerning System and member needs and other matters."

Current Role

School Library Systems provide a variety of services that mostly enhance services provided by their member libraries. The areas of service provided are identical to those areas provided by RRLRS to their members. They are:

(1) Interlibrary Lending and Borrowing.

(2) Interlibrary Loan Support Mechanisms.

(3) Reference, Referral and Research.

(4) Performance of Library Operational Functions.

(5) Support of Library Development.

(6) Enhancement of Interlibrary Cooperation.

(7) Member Library Participation.

The definitions of these service areas can be found in Section 3.3.

School Library Systems currently provide a substantial amount of enhancement of library services (i.e., ILL-related services and reference and referral). A very small amount of the total costs are for performance of library operational functions. Enhancement of communications and cooperation services are relatively high compared with the other two types of Systems. The total estimated costs of School Library Systems is $5.5 million, sub-divided as follows:

- Enhancement of library services: $2.2 million (40.5%)
- Performance of library operational functions: $103,000 (1.9%)
- Support of library development: $1.1 million (19.3%)
- Enhancement of cooperation and communication: $1.9 million (33.6%)

Computer facilities are estimated to be $257,000 (4.6%).

We believe that there are opportunities for substantial savings to school libraries, if SLS would perform more library operational functions (see Section 6.6).

3.3 SUMMARY OF FINDINGS CONCERNING SERVICES

All told there are 117 individual services provided by Library Systems (a composite list of these services is given in Appendix G). These services can be meaningfully grouped as follows:

(1) Interlibrary Lending and Borrowing. Included in this group of services are all of the processes associated with making initial requests, processing ILL requests for referral or fulfillment, searching for bibliographic verification and location of potential lending libraries, and actual fulfillment of ILL requests.

(2) Interlibrary Loan Support Mechanisms. Library Systems have devoted substantial resources to helping develop union lists and providing delivery services. Retrospective conversion of local library holdings is well underway. Of course, interlibrary loan support is only one of several ways in which bibliographic databases might be used, but they are currently mostly used for this purpose. The same is true for system delivery services. These services are used for delivery of a large number of items, yet they serve as the backbone for interlibrary loan.

(3) Access to Other Shared Collections. Library Systems provide additional access to shared library materials through rotating and pool collections, bookmobiles and reading stations operated by Library Systems.

(4) Reference, Referral and Research. Library Systems support member libraries by providing backup for difficult reference, referral and research requests. For example, sometimes member libraries do not have terminals for conducting online bibliographic searches. Central Libraries, as another example, have built strong reference collections that could be widely duplicated only at great expense. Thus, the Central Libraries can serve as valuable resources when needs arise.

(5) Performance of Library Operational Functions. Library Systems actually perform many library activities for the libraries. For the most part this is because the systems can do the work less expensively than most of the individual libraries because of the economies of scale that can be achieved by a centralized facility. Examples of such activities performed on behalf of individual libraries include acquisitions, cataloging, physical processing, and so on. In these instances, the Library Systems perform all or at least most of the work for their member libraries.

(6) Direct Services to Users. In many instances, such as outreach, Library Systems provide direct services to users. Examples of such services include books by mail, services to users in nursing homes and job information services. Sometimes these services employ the facilities of member libraries. Because these services tend to be direct and affect special types of users, the funding is largely through categorical grants.

(7) Support of Library Development. Library Systems provide backup consulting services in such areas as youth services, audiovisual, automation, library management, etc. They also support continuing education for member library staff and trustees through workshops, special programs and shared professional collections. Finally, they help member libraries prepare and administer grants.

(8) Enhancement of Interlibrary Cooperation. Libraries in New York State engage in a number of other cooperative programs that are supported and sometimes administered by Library Systems. Examples of such programs include cooperative collection development, direct access to member collections and communications among member libraries through electronic and other means.

(9) Member Library Participation. Library Systems must perform several activities or services as part of their System responsibility. These include Board (Council) meetings and communications, committee administration, member questionnaires, and so on.

(10) Computer Facilities. This group of services includes computer facility, staff, terminals, etc. that are unallocated to specific services.

The extent to which these services are provided to member libraries is indicated by estimates of costs provided by Library System directors as summarized in Table 3.1. Note that administration costs are allocated (see Section 2.2.1). Grants to other organizations and some dominant contracts

Table 3.1

ESTIMATED COSTS OF LIBRARY SYSTEM SERVICES BY TYPE OF SERVICE IN NEW YORK STATE: 1987/88

Type of Service	PLS ($million)	RRLRS ($million)	SLS ($million)
Interlibrary lending & borrowing	$2.69	$0.96	$1.04
Interlibrary loan support mechanisms	3.02	1.69	1.04
Access to other shared collections	2.70	-	-
Reference, referral and research	1.68	0.19	0.17
Performance of library operational functions	10.53	0.76	0.10
Support of library development	3.86	0.82	1.07
Direct services to users	4.25	-	-
Enhancement of interlibrary cooperation	1.68	0.35	1.09
Member library participation (3)	0.66	0.42	0.78
Computer facilities (2)	4.27	0.11	0.26
TOTAL(4)	$35.33(1)	$5.30	$5.54

SOURCE: King Research, Inc. Library System Survey

(1) This figure does not include System costs incurred by the New York Public Library, Brooklyn Public Library or Queens Borough Public Library.

(2) Computer and other technology costs that are not allocated to specific services.

(3) Member library participation includes costs associated with Boards or Councils, member library committees, questionnaires, and so on.

(4) General and administration costs are allocated to services in proportion to their costs.

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(such as METRO's contract to Westchester to handle interlibrary loan processing, etc.) are not included.

The costs in Table 3.1 are presented in greater detail in Table 6.12. The costs do not necessarily reflect true budgets because they are estimates of costs of specific services provided by the Library System directors. They also reflect their attempts to allocate expenses, depreciate capital expenditures, etc. Some of the services are to libraries which are not primary members of the Library Systems (e.g., services by RRLRS to school libraries mostly through SLS).

3.3.1 Interlibrary Lending and Borrowing

There are estimated to be 1.4 million interlibrary loans processed within Library Systems (based on the Member Library Survey). These interlibrary loans are requested libraries to libraries (i.e., point-to-point) within the System (or elsewhere) or through the Library System headquarters which processes, searches for verification or location, and refers the request or in some instances fulfills it. Thus, Library Systems are involved in two ways in this process:

- They make arrangements to facilitate interlibrary lending among libraries of the same type and across types of libraries, and
- the Systems actually process many of the requests.

Nearly all requests that are forwarded to Library Systems come from their own member libraries.

We anticipate that eventually the Technology Network Ties (TNT - see Section 3.6 for more details) or some other statewide communication network will be in place and a new structure for handling interlibrary lending, loan verification, location and some delivery will be necessary. Until that time we make the following recommendations.

Recommendation S3

The protocol for interlibrary loan request processing should be as follows:

- **point-to-point requesting and fulfillment should be the first choice of borrowing libraries (assuming their access to a bibliographic database online or offline).**
- **difficult to locate requests should be submitted by member libraries to their Library System for (1) processing, (2) verification (if needed), (3) subject search (if needed), (4) location, and (5) referral or fulfillment,**
- **difficult to locate requests should immediately be referred to other Systems or elsewhere according to known strengths.**

Recommendation S4

The protocol for interlibrary loan request fulfillment (once located) should be as follows:

- **point-to-point as indicated above,**
- **Library System fulfillment when appropriate,**
- **Library Systems to libraries within system, to like-type libraries elsewhere, NYSILL or elsewhere according to known strengths.**

Interlibrary loan request and related processing is currently provided to public libraries by Public Library Systems and Central Libraries. Few of the requested materials are provided from PLS headquarters collections, but many are provided from the PLS Central Libraries. Also, some are provided from the New York State Library, with the remainder from diverse sources.

Recommendation S5

Interlibrary loan request processing for PLS should be done by Central Libraries when most cost-effective to do so.

Many of the services currently provided by Central Libraries are rated low (in terms of satisfaction) by member libraries, although in some instances the sample sizes are low because not much service is provided by CL (see Appendix C). It is essential that Central Libraries take action to improve performance of their services, particularly those which are provided extensively by them.

Recommendation S6

Central Libraries generally must improve their staff capabilities for interlibrary loan processing, and reference, referral and research.

We agree with the New York State Interlibrary Loan Study of 1986 which emphasizes the importance of point-to-point lending which can best be achieved through union lists and existing mechanisms such as RLIN, SUNY, OCLC and DRANET. When the System's cataloging is being done using such mechanisms, it may be best to further use them for interlibrary loan request processing.

Recommendation S7

Existing interlibrary loan networks and utilities such as RLIN, SUNY OCLC and DRANET should continue to be used, if they are cost effective and achieve equal or better quality and timeliness.

3.3.2 Interlibrary Loan Support Mechanisms

Local libraries, Library Systems and New York State have devoted substantial resources to support the development of union lists and the provision of delivery services. Retrospective conversion of local library holdings is well underway. Of course, interlibrary loan support is only one of several purposes for which bibliographic databases might be used, but they are funded mostly for this purpose. The same is true for System delivery services. System delivery services handle 5.2 million items annually (not including BOCES and Big City School Districts delivery). Less than 20 percent of the deliveries involve interlibrary loans, yet the delivery mechanism serves as the backbone for interlibrary loan.

SUMMARY OF FINDINGS: Interlibrary Loan Support Mechanisms (cont.)

Retrospective conversion of local holdings to be machine-readable is being done by all three types of Library Systems. However many Library Systems are performing this service at amounts well below the critical mass and, therefore, are not as efficient as possible. School Library Systems in particular are working below the critical mass.

Recommendation S8

Retrospective conversion should be done by a Library System only if the number of titles processed annually is more than the "critical mass." Otherwise arrangements should be made to contract with another Library System or vendor to do the work at a lower cost per title.

Union lists of library holdings have been developed. They have been useful in point-to-point interlibrary borrowing and should continue to be developed.

Recommendation S9

Each region should have a comprehensive union list of holdings of all libraries (of all types) in the region.

Recommendation S10

The union lists should be distributed online or on CD-ROM depending on the cost effectiveness in each region (dictated in part by communication costs). All Library Systems and Central Libraries should have access to appropriate systems (i.e., online or CD-ROM).

Recommendation S11

Ultimately there should be a Statewide union listing of holdings which is directly accessible by all libraries through online or in-library CD-ROM. (Centralized access online will be cost-effective only when the Technology Network Ties (TNT) communication network or other state-wide network is in place.)

Delivery is currently provided by Library Systems of all types, BOCES and Big City School Districts. Some consist of a subsidy of the members' costs rather than a service per se.

Recommendation S12

BOCES, Big City School District and other current arrangements for delivery for SLS should continue, unless more cost-effective alternatives are identified.

Recommendation S13

Local and regional delivery services within each region should be examined by libraries and Library Systems and cost-effective cooperative delivery arranged.

3.3.3 Access to Other Shared Collections

Public Library Systems provide additional access to shared library materials through rotating and pool collections, bookmobiles and reading stations operated by Library Systems. These services, which are currently provided only by PLS, should continue if they are demonstrated to be cost effective by each PLS and if they continue to be desired by member libraries.

Rotating collections are those that periodically rotate from library to library in the system. They may be books, large type materials, audio or video collections.

Recommendation S14

The rotating collection services of PLS should be evaluated and a maximum allowable cost per item circulated to patrons established by DLD. (The data provided in the Library System survey should not be used because these particular data appear erratic.) The determination of cost per item circulated and maximum values should be established. Collections operating over the maximum level should be discontinued, partially weeded to reduce costs or turned over to another organization in the region.

Recommendation S15

The SLS should examine the possibility of providing small rotating collections for certain courses, but only if they can be scheduled and are found to be cost-effective.

Pool collections are shared collections that are permanently maintained by PLS headquarters or elsewhere from which loans can be made. Rotating collections may be a subset of these collections.

Recommendation S16

PLS pool collections should be evaluated to determine the extent of use of items and their cost per loan. Maximum costs (including storage) per item loaned should be established to weed items, classes of items (by age, subject, etc.) or the entire collection.

Bookmobiles are provided to otherwise unserved areas. The service accounts for an estimated circulation of 708,000 at an estimated average cost of $2.70 per item circulated.

Recommendation S17

DLD should set a maximum cost per item circulated by bookmobile (i.e., 50% above median cost). PLS exceeding that amount should take steps to reduce average cost (e.g., reduce area covered, reduce number of trips, investigate needs, publicize service, etc.) or eliminate the service for an alternative or less expensive means of serving the otherwise unserved population.

3.3.4 Reference, Referral and Research

Library Systems support member libraries by providing backup for difficult reference, referral and research requests. For example, sometimes member libraries do not have terminals for conducting online bibliographic searches from vendors such as Dialog, BRS, etc. Central Libraries, as another example, have built strong reference collections that could be widely duplicated only at great expense. Thus, the Central Libraries can serve as valuable resource when needs arise.

These services are defined as follows:

- **Manual searching (service 4.12.1). This would include manual searching through printed indexes or other reference materials.**

- Online bibliographic searching (service 4.12.2). Includes access to online bibliographic databases (such as Medline, Compendex, LEXIS, CA, etc.), and online access to catalogs through an external system such as OCLC or through a network-installed or network-developed system. Searching for the purpose of interlibrary loan (ILL) should be covered under 3.3 - Electronic databases (e.g., OCLC, BRODART).

- Online other database searching (service 4.12.3). Includes access to numeric databases (such as ARBITRON, CENSUS, AIRES, BI/DATA, etc.) or other databases available externally through vendors, database producers, or by other means.

- Referral searching services (service 4.12.4). Includes manual or computer searching of lists, files, directories or special-purpose databases used for referral of patrons to resources, such as special collections, consultants, equipment, etc. Also includes development of files, directories, or databases used in referral.

- Research analysis (service 4.12.5). This includes search results or other research that requires interpretation or analysis of secondary information sources. Research analysis usually implies that results are reported in written form.

There is evidence that many of the Library Systems (particularly SLS) are operating at an excessive cost of providing this service, largely because of economies of scale.

Recommendation S18

Central Libraries should provide reference, referral and research services for public libraries, if cost-effective to do so.

Recommendation S19

Central Libraries must strengthen their staff, reference collections and reference online and CD-ROM systems to provide better services than now being provided by many of them. If there is sufficient evidence this is not done, the responsible PLS should seek alternative source(s) for the service.

Recommendation S20

A referral service listing of unusual or very costly reference materials, staff subject expertise and online database (or vendor) availability should be developed within each region. The listing should be incorporated in the union list of holdings and, thus, provided by the same medium.

Many of the SLS and some RRLRS are spending too much time/cost on searches that presumably could be done better (because of resources) or less expensively elsewhere.

Recommendation S21

Library Systems should provide reference, referral and research service to each of their member libraries. However, difficult searches should be referred. The decision concerning where to refer requests will be made on the basis of the union list and one's knowledge of special resources.

Recommendation S22

Protocols for referral of requests for these reference, referral and research services are as follows:

- **PLS member libraries. Do search themselves, refer to Central Libraries, refer to other sources according to known strengths.**
- **RRLRS member libraries. Do search themselves, refer to RRLRS, refer to other sources according to known strengths.**
- **SLS member libraries. Do search themselves, refer to SLS, refer to Central Libraries, refer to other sources according to known strengths.**

3.3.5 Performance of Library Operational Functions

Library Systems actually perform many library operational activities for the libraries. For the most part this is because the Systems can do the work less expensively than most of the individual libraries because of the economies of scale that can be achieved by a centralized facility. Examples of such activities performed on behalf of individual libraries include acquisitions, cataloging, physical processing, and so on. In these instances, the Library Systems perform all or at least most of the work for their member libraries. Thus, the service is a substitute for member library in-house operational functions, not an enhancement of them.

Some of these services are provided by Library Systems at an average cost that is too high, with output performance considered unsatisfactory by member libraries, or both. Average costs for each service were estimated from data reported on the Library System survey. Estimated average costs for a specific service might be high because a Library System allocated costs improperly or for some other reason. However, when a particular Library System has high costs (compared with overall average cost or medians) across a majority of services, there is evidence that something should be done to reduce costs (and maintain satisfactory performance). Excessive costs can be attributable to a lack of economies of scale, poor management or some other factor.

3.3.6 Direct Services to Users

In many instances, such as outreach, Library Systems provide direct services to users. Examples of such services include books by mail, services to users in nursing homes and job information services. Sometimes these services employ the facilities of member libraries. Because these services tend to be direct and affect special types of users, the funding is largely through categorical grants.

Recommendation S23

Direct services to users should be reviewed, particularly with regard to the cost per person served. DLD should set a maximum level, over which alternative methods of providing service should be sought.

3.3.7 Support Library Development

Library Systems provide backup consulting services in such areas as youth services, audiovisual, automation, library management, etc. They also support continuing education for member library staff and trustees through workshops, special programs and shared professional collections. Finally, they help member libraries prepare and administer grants.

SUMMARY OF FINDINGS: Support Library Development

These services are all found to be important by member libraries, although workshops less so by PLS and RRLRS member libraries. Satisfaction with these services is generally rated lower by PLS member libraries. All of these services should be continued, but coordination of services among types of Library Systems needs review.

Recommendation S24

All consulting, continuing education workshops and grant support services should be reviewed every three years to determine which cooperative services should be provided and which organizations should provide the services.

3.3.8 Enhancement of Interlibrary Cooperation

Libraries in New York State engage in a number of other cooperative programs that are supported and sometimes administered by Library Systems. Examples of such programs include cooperative collection development, direct access to member collections and communications among member libraries through electronic and other means.

Recommendation S25

SLS and Central Libraries in particular should coordinate collection development of material to support curricula and reference services (for students and teachers).

3.3.9 Criteria for Assessing Library System Services

We emphasize that Library System directors and Boards assess their System operations and services through examination of average costs and performance attributes such as quality and timeliness. This should be done on a service-by-service basis. In this report we have provided overall averages, medians and quartiles of average costs for many of the services. Individual Library Systems can use these data to compare with other Library Systems. Individual services are easily compared. However, a more difficult issue is how a Library System is doing overall. To approach this problem we suggest the following rationale.

Recommendation S26

Library System directors and boards should compare average costs against State norms (e.g., quartiles of average costs). The following criteria are unacceptable:

- over 75 percent of services have average costs above the median,
- over 25 percent of services have average costs in the high-cost quartile, or
- over 67 percent of total budget involves services with costs above the median.

If any one is not met, the Library System director must present a plan to the Board for lowering costs. Actions that might be taken by the Board include:

- modify service provision,
- assign or contract service to another organization,
- merge some services (or Library System) with another Library System, etc.
- replace Library System director, if evidence warrants such an action.

Recommendation S27

Every service with average costs more than 50 percent above the high-cost quartile bound should be reviewed and justified or a plan set forth for lowering to at least below the high-cost quartile bound.

For example, the high-cost quartile of the average cost of interlibrary loan request processing is "more than $3.40." If the cost of this service is more than $5.10 (i.e., $3.40 times 1.5) the service should be reviewed.

Recommendation S28

If less than 20 percent of the total cost of a specific service provided by a Library System is provided to libraries that have fewer requests (i.e., number of transactions) than the "critical mass," the service should be assigned or discontinued by the Library System. An equivalent amount of services should be provided to member libraries, the service to small libraries can be contracted elsewhere, or the Library System should provide a "grant" to member libraries to provide the service themselves.

3.4 LIBRARY SYSTEM SERVICES

A total of 117 different services are currently being provided by Library Systems in New York State. To facilitate analysis, these services have been condensed into 46 services. Combined are all of the same specific outreach programs, different types of consulting, and so on. Not all services are provided by each type of system, as shown in Table 3.2. All of the 46 services are provided by PLS, of which 38 are provided by at least half of the PLS. Thirty-two of the services are provided by RRLRS, of which 22 are provided by at least half of RRLRS. Twenty-five of the services are provided by SLS, of which 18 are provided by at least half of the Systems.

3.4.1 Public Library System Service Provision

The most heavily used services of PLS, in terms of number of member libraries receiving service are:

- interlibrary loan request processing
- interlibrary loan of materials
- administration of grant programs
- return of books to any library in system
- in-system courier.

All of these services are used by over 75 percent of member libraries. The number of PLS members (and non-members) using system services are displayed in Table 3.3.

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Table 3.2

NUMBER OF LIBRARY SYSTEMS PROVIDING VARIOUS SERVICES BY
TYPE OF LIBRARY SYSTEM IN NEW YORK STATE: 1988

Type of Service	PLS	RRLRS	SLS	Total
Interlibrary Lending and Borrowing				
ILL request processing	20	9	46	75
Verifying and locating materials	19	9	39	67
ILL of materials	19	9	44	72
Interlibrary Loan Support Mechanisms				
Union list/catalog production	12	9	43	66
Retrospective conversion	19	8	44	71
Delivery	20	7	20	47
Access to Other Shared Collections				
Rotating collections	13	-	-	13
Pool collections	17	-	-	17
Bookmobiles and reading stations	13	-	-	13
Reference, Referral and Research				
Manual searching	14	6	40	60
Online searching	12	5	34	51
Referral searching	8	6	24	38
Research	6	1	-	7
Performance of Library Operational Functions				
Circulation	12	-	-	12
Collection development	20	5	-	25
Acquisitions and ordering	19	6	-	25
Cooperative purchasing	15	4	-	19
Cataloging	20	8	-	28
Catalog production	19	5	-	24
Physical processing	20	1	-	21
Conservation and preservation	8	4	-	12
Materials examination	15	-	21	36
Recordkeeping	10	-	-	10
Public relations				
- print	17	8	37	62
- newspaper articles	17	5	28	50
- radio	13	-	7	20
- TV	9	1	4	14
- other	5	2	6	13

Table 3.2 (continued)

NUMBER OF LIBRARY SYSTEMS PROVIDING VARIOUS SERVICES BY
TYPE OF LIBRARY SYSTEM IN NEW YORK STATE: 1988

Type of Service	PLS	RRLRS	SLS	Total
Direct Services to Users				
Outreach	20	-	-	20
Books by mail	18	-	-	18
Services to homeless	5	-	-	5
Early childhood development	14	-	-	14
Parenting	13	-	-	13
Aging	17	-	-	17
Job information	15	-	-	15
Support of Library Development				
Consultant services	20	8	39	67
Grant preparation and administration	20	9	-	29
Continuing education (members and non-members)	19	6	39	66
Enhancement of Interlibrary Cooperation				
Cooperative collection development	9	7	31	47
Communication				
- electronic mail/bulletin board	13	7	40	60
- teleconferencing	4	2	-	6
- system newsletters	17	9	46	72
- system memos/flyers	20	9	46	74
Direct access to member collections	17	3	23	43
- intrasystem borrowers card	4	1	3	8
- return of materials to any library	17	-	25	41

SOURCE: King Research, Inc. Library System Survey (20 PLS, 9 RRLRS, 46 SLS).

TABLE 3.3

PUBLIC LIBRARY SYSTEMS SERVICE PROVISION: NO. OF SYSTEMS PROVIDING, NO. OF LIBRARIES RECEIVING, AMOUNT OF SERVICES RECEIVED AND TOTAL COST OF PROVIDING SERVICE BY TYPE OF SERVICE AND BY TYPE OF LIBRARY RECEIVING SERVICE: 1988

Type of Service	Number of Systems Providing Service(1)	Number of Libraries Receiving Service(2)		Amount of Service Received by Libraries(2,3)		Total Cost of Providing Service to Libraries(4)	
		Public	Other	Public (000)	Other (000)	Public ($000)	Other ($000)
Interlibrary Lending and Borrowing							
ILL request processing	20	731	591	621	9	$891	$13
Verifying and locating materials	19	495	158	1,118	13	603	17
ILL of materials	19	638	848	665	23	918	32
Interlibrary Loan Support							
Union list/catalog production	12	287	6	1,200	0.06	518	1
Retrospective conversion	19	122	-	2.0	-	642	-
In-system courier	20	548	26	1.60	0.06	1,793	67
Access to Other Shared Collections							
Rotating collections	13	436	-	73	-	170	-
Pool collections	17	39	-	302	-	625	-
Bookmobiles and reading stations	13	35	-	62	-	1,900	-
Performance of Library Operational Functions							
Circulation	12	132	-	7.2	-	1,100	-
Collection development	20	289	-	289	-	366	-
Acquisitions and ordering	19	455	-	812	-	1,650	-
Cooperative purchasing	15	294	-	33	-	1,330	-
Cataloging	20	447	-	623	-	1,940	-
Catalog production	19	338	-	528	-	1,210	-
Physical processing	20	420	-	690	-	1,230	-
Conservation and preservation	8	?	?	-	-	125	-
Materials examination	15	210	-	276	4	292	4
Recordkeeping	10	138	-	6	-	275	-
Public relations						1,003	
- print	17	504	-	150	-		-
- newspaper articles	17	450	-	0.7	-		-
- radio	13	206	-	0.2	-		-
- TV	9	164	-	0.2	-		-
- other	5	?	-	-	-		-
Reference, Referral & Research							
Manual searching	14	268	78	14.1	0.4	1,216	34
Online searching	12	171	57	2.2	1.0	101	46
Online other database searching	?	131	15	900	-	92	-
Referral searching	8	121	-	2,900	-	169	-
Research	6	32	-	0.4	-	20	-

TABLE 3.3 continued

PUBLIC LIBRARY SYSTEMS SERVICE PROVISION: NO. OF SYSTEMS PROVIDING, NO. OF LIBRARIES RECEIVING, AMOUNT OF SERVICES RECEIVED AND TOTAL COST OF PROVIDING SERVICE BY TYPE OF SERVICE AND BY TYPE OF LIBRARY RECEIVING SERVICE: 1988

Type of Service	Number of Systems Providing Service (1)	Number of Libraries Receiving Service (2)		Amount of Service Received by Libraries (2,3)		Total Cost of Providing Service to Libraries (4)	
		Public	Other	Public (000)	Other (000)	Public ($000)	Other ($000)
Support of Library Development							
Consultant services	20	413	-	40.5	-	2,220	-
Grant preparation and administration	20	616	-	1.6	-	1,104	-
Cont. education (mem. and non-mem.)	19	510	-	9,746	125	524	7
Direct Services to Users						3,258	
Outreach	20	N/A	N/A	-	-		-
Books by mail	18	N/A	N/A	-	-		-
Services to homeless	5	N/A	N/A	-	-		-
Early childhood development	14	N/A	N/A	-	-		-
Parenting	13	N/A	N/A	-	-		-
Aging	17	N/A	N/A	-	-		-
Other	15	N/A	N/A	-	-		-
Job information	15	189	-	58	-	995	-
Services to Enhance Interlibrary Cooperation							
Cooperative collection development	9	97	-	0.1	-	95	-
Communication							
- electronic mail/bulletin board	13	143	-	9.8	-	492	-
- teleconferencing	4	?	?	-	-	-	-
- system newsletters	17	?	?	-	-	-	-
- system memos/flyers	20	?	?	-	-	-	-
Direct access to any library (member)	17	490	35	0.5	0.1	305	61
Intrasystem borrowers card	14	317	-	0.5	-	10	-
Intersystem borrowers card	4	192	13	0.06	0.03	57	28
Return of books to any library	17	587	-	0.6	-	354	-

SOURCE: King Research, Inc. (1) Library System Survey (20 PLS, 9 RRLRS, 46 SLS);
(2) Member Library Survey (N=4,593; n=437);
(3) Units of service vary - only row comparisons are valid.
(4) Cost to provide services to public and other types of libraries calculated by sub-dividing total costs of services reported by PLS (see Table 6.12) in proportion to amount of service reported received from PLS by libraries of all types (see previous 2 columns).

The use of PLS services by non-public libraries is limited, as mentioned earlier, to a few services. The data presented in Table 3.3 clearly demonstrate that such non-member usage represents a very small proportion of the total usage of the services. The three services provided to any sizable numbers of non-public libraries are interlibrary loan of materials, which is actually provided to more non-public libraries (848) than to public libraries (638), interlibrary loan request processing (provided to 591 non-public libraries and 731 public libraries) and bibliographic verification and location of potential lending libraries (provided to 158 non-public libraries and 495 public libraries). Note that our discussion of non-public libraries refers to non-public libraries that are members of RRLRS or School Library Systems.

The comparison of service provision numbers of public and non-public libraries can, however, be misleading because the amount or volume of service received can vary greatly from library to library. Table 3.3 also displays the amount of service received by public and non-public libraries.

For the three services mentioned above (ILL loan of materials, verifying and locating, request processing) that are often received by non-public libraries, the proportions of the total amounts of services provided by the PLS to the non-public libraries are 3.3 percent, 1.4 percent and 1.1 percent, respectively. Thus, even when it appears that a substantial number of non-public libraries are receiving service from PLS, most of the service provision is to member public libraries. The single exception to this is with online searching. The relative amounts of this System service provided to member public libraries and non-public libraries are 68.7 percent and 31.3 percent respectively. The relative proportions of libraries served are 75 percent and 25 percent respectively.

These patterns of service provision are also reflected in the cost of providing system services and are displayed in Table 3.3. The total cost of Public Library System services is estimated to be $35,331,000, including costs of functions other than those shown on Tables 3.2 and 3.3

(see Table 6.12) of which approximately 99.1 percent is expended in service provision to member public libraries and 0.9 percent in service provision to non-public libraries that are members of other types of Systems.

Three important indicators of PLS performance are average cost per unit of services, average ratings of satisfaction by member libraries and average rating of importance by member libraries Satisfaction with services were rated on a scale of one to five, with one being very dissatisfied and five being very satisfied. Similarly, importance was also rated on a scale of one to five. These indicators are displayed together on Table 3.4 for 30 services. Not included are research (because of too few responses), some communication services (e.g., newsletters), and direct services to users Satisfaction ratings are given for both PLS and CL. (See discussion in Section 7 concerning measurement and indicators and their meaning.)

The importance of various System services to Public Library System members is displayed in Table 3.4. The importance of services was measured on a five point scale with 1 representing "not at all important" and 5 representing "very important." The distribution of the importance ratings across 30 services can be summarized as follows:

Average Rating of Importance	Number of PLS Services With Average Rating
>4.75	7
4.50 - 4.75	9
4.00 - 4.50	9
<4.00	5

TABLE 3.4

PUBLIC LIBRARY SYSTEMS PERFORMANCE INDICATORS FOR 31 SERVICES: AVERAGE COST, AVERAGE SATISFACTION RATINGS (PLS AND CL) AND AVERAGE IMPORTANCE RATINGS: 1988

Type of Service	Average Cost ($)	Average Satisfaction Ratings (PLS)	Average Satisfaction Ratings (CL)	Average Importance Ratings
Interlibrary Lending and Borrowing				
ILL request processing	1.33/req. form	4.45	4.26	4.84
Verifying and locating materials	0.74/item searched	4.25	3.86	4.87
ILL of materials	1.73/item	4.38	4.30	4.93
Interlibrary Loan Support Mechanisms				
Union list/catalog production	9.00/copy produced	3.64	3.43	4.56
Retrospective conversion	0.56/title	4.04	-	4.80
Delivery	0.35/item	4.41	4.06	4.88
Access to Other Shared Collections				
Rotating collections	380.00/collection	4.09	3.91	4.05
Pool collections	0.81/item	4.31	4.55	4.38
Bookmobiles and reading stations	2.70/item circ.			
Performance of Library Operational Functions				
Circulation	0.03/item	3.97	3.36	4.86
Collection development	410.00/library	3.94	3.19	4.53
Acquisitions and ordering	2.00/title	4.04	4.18	4.71
Cooperative purchasing	16.00/order	4.17	3.67	4.38
Cataloging	10.60/title	4.22	3.74	4.68
Catalog production	0.68/set	4.14	3.67	4.66
Physical processing	0.85/item	4.17	4.44	4.75
Materials examination	0.32/item	4.01	3.19	4.29
Recordkeeping	7.60/library	4.13	4.00	4.59
Public relations				
- print	55.00/job	3.99	3.25	4.15
- newspaper articles	80.00/article	3.06	2.79	3.78
- radio	65.00/announcement	2.93	4.07	3.64
- TV	780.00/announcement	2.83	3.38	3.62
Reference, Referral & Research				
Manual searching	13.10/search	4.14	3.82	4.47
Online searching	19.60/search	4.24	3.04	3.89
Referral searching	18.60/search	3.92	4.20	4.45

TABLE 3.4 continued

PUBLIC LIBRARY SYSTEMS PERFORMANCE INDICATORS FOR 31 SERVICES: AVERAGE COST, AVERAGE SATISFACTION RATINGS (PLS AND CL) AND AVERAGE IMPORTANCE RATINGS: 1988

Type of Service	Average Cost ($)	Average Satisfaction Ratings (PLS)	Average Satisfaction Ratings (CL)	Average Importance Ratings
Support of Library Development				
Consultant services	24.90/hour	3.85	3.30	4.60
Grant preparation and administration		4.00		4.60
Continuing education (members and non-members)	72.00/workshop	4.30		4.41
Services to Enhance Interlibrary Cooperation				
Cooperative collection development	70.00/collection	3.65	3.75	4.44
Communication				
- electronic mail/bulletin board	2.00/message	3.83	4.27	3.40
Direct access to member collections	500.00/library	3.91	4.47	4.68

SOURCE: King Research, Inc. (1) Average cost from Library System Survey (20 PLS, 9 RRLRS, 46 SLS); (2) Member Library Survey (N=4,593; n=437); Average satisfaction rating: with 1-Very Dissatisfied to 5-Very Satisfied; Average importance rating: with 1-Not at all Important to 5-Very Important.

The most important services (i.e., those receiving a rating of over 4.75 out of a possible 5.00) are:

- interlibrary loan of materials (4.93)
- in-system courier (4.88)
- bibliographic verification and location of potential lending libraries (4.87)
- circulation control (4.86)
- interlibrary loan request processing (4.84)
- retrospective conversion (4.80)
- physical processing (4.75).

The least important services (i.e., those receiving a rating of less than 4.00 out of a possible 5.00) are:

- electronic mail/bulletin board (3.40)
- public relations - television programs and spot announcements (3.62)
- public relations - radio programs and spot announcements (3.64)
- public relations - newspaper articles (3.78)
- online bibliographic searching (3.89).

Approximately $7,229,000 are expended on providing the services that members indicated were most important to them (to members). This represents approximately 20.8 percent of the total budget.

The member libraries receiving various services from the Public Library Systems were also asked to rate their satisfaction with the services received. Satisfaction was measured on a five point scale with 1 representing "very dissatisfied" and 5 representing "very satisfied." Satisfaction was measured both for services actually provided by System headquarters, and also those provided by the Central Libraries. The satisfaction ratings for each service are displayed in Table 3.4. The distribution of satisfaction ratings can be summarized as follows:

	Public Library Systems	Central Libraries
Average Rating of Satisfaction	Number of Services with Average Satisfaction	Number of Services with Average Satisfaction
>4.50	-	1
4.25 - 4.50	6	5
4.00 - 4.25	12	5
3.00 - 4.00	10	15
<3.00	2	1

Thus, six of the 30 PLS services given on Table 3.4 have average ratings from 4.25 to 4.50 (i.e., all services but bookmobiles).

Four of the services provided by the System headquarters that received high satisfaction ratings are also rated most important by System members. These services are:

- interlibrary loan request processing (4.45)
- bibliographic verification and location of potential lending libraries (4.25)
- interlibrary loan of materials (4.38)
- in-system courier (4.41).

The other two services provided by Public Library System headquarters which received high satisfaction ratings are:

- pool collections (4.31)
- continuing education workshops (4.30).

The services which received very low satisfaction ratings are:

- public relations - television programs and spot announcements (2.83)
- public relations - radio programs and spot announcements (2.93).

Both of these services received low importance ratings.

Several System headquarters services received relatively high importance ratings but relatively low satisfaction ratings. These include:

- circulation control offered to libraries (4.86 importance; 3.97 satisfaction)
- union list/catalog production (4.56 importance; 3.64 satisfaction).

These services, together with other services receiving relatively low satisfaction ratings, should be further investigated by the Systems.

3.4.2 Reference and Research Library Resources System Service Provision

The services provided by RRLRS to their members are shown in Table 3.5. The services provided by at least seven of the nine RRLRS are:

- ILL request processing
- Verifying and locating materials
- ILL of materials
- Union list/catalog production
- Retrospective conversion
- Delivery
- Cataloging

TABLE 3.5

REFERENCE AND RESEARCH LIBRARY RESOURCES SYSTEM SERVICE PROVISION:
NO. OF SYSTEMS PROVIDING, NO. OF LIBRARIES RECEIVING, AMOUNT OF SERVICES RECEIVED AND TOTAL COST OF PROVIDING SERVICE BY TYPE OF SERVICE AND BY TYPE OF LIBRARY RECEIVING SERVICE: 1988

Type of Service	Number of Systems Providing Service(1)	Number of Libraries Receiving Service(2)		Amount of Service Received by Libraries(2,3)		Total Cost of Providing Service to Libraries(4)	
		Ac/Res/Sp	Other	Ac/Res/Sp (000)	Other (000)	Ac/Res/Sp ($000)	Other ($000)
Interlibrary Lending and Borrowing							
ILL request processing	9	422	274	203	13	309	20
Verifying and locating materials	9	238	28	124	5	355	15
ILL of materials	9	466	359	238	24	247	15
Interlibrary Loan Support Mechanisms							
Union list/catalog production	9	239	41	5	0.1	608	12
Retrospective conversion	8	76	-	377	-	573	-
In-system courier	7	205	4	74	-	495	-
Performance of Library Operational Functions							
Collection development	5	52	-	74	-	109	-
Acquisitions and ordering	6	38	-	2	-	418	-
Cooperative purchasing	4	37	-	3	-	64	-
Cataloging	8	106	-	12	-	60	-
Catalog production	5	108	48	24	-	16	-
Physical processing	1	16	-	4	-	-	-
Conservation and preservation	4	?	?	-	-	-	-
Public relations							
- print	8	228	-	4	-	10	-
- newspaper articles	5	8	-	0.046	-	83	-
- TV	1	?	-	-	-	83	-
- other	2	?	-	-	-	83	-
Reference, Referral & Research							
Manual searching	6	68	-	5.1	-	46	-
Online searching	5	128	11	6.6	0.1	98	2
Online other database searching	?	131	-	0.9	-	27	-
Referral searching	6	55	-	0.5	-	11	-
Research	1	-	-	-	-	6	-
Support of Library Development							
Consultant services	8	75	-	10	-	280	-
Grant preparation and administration	9	176	-	1,812	-	246	-
Cont. education (mem. and non-mem.)	5	310	-	2.1	0.2	269	26

TABLE 3.5 continued

REFERENCE AND RESEARCH LIBRARY RESOURCES SYSTEM SERVICE PROVISION: NO. OF SYSTEMS PROVIDING, NO. OF LIBRARIES RECEIVING, AMOUNT OF SERVICES RECEIVED AND TOTAL COST OF PROVIDING SERVICE BY TYPE OF SERVICE AND BY TYPE OF LIBRARY RECEIVING SERVICE: 1988

Type of Service	Number of Systems Providing Service(1)	Number of Libraries Receiving Service(2)		Amount of Service Received by Libraries(2,3)		Total Cost of Providing Service to Libraries(4)	
		Ac/Res/Sp	Other	Ac/Res/Sp (000)	Other (000)	Ac/Res/Sp ($000)	Other ($000)
Services to Enhance Interlibrary Cooperation							
Cooperative collection development	7	60	-	7.1	-	77	-
Communication							
- electronic mail/bulletin board	7	-	-	-	-	222	-
- teleconferencing	2	?	?	-	-	222	-
- system newsletters	9	?	?	-	-	222	-
- system memos/flyers	9	?	?	-	-	222	-
Direct access to any library (member)	3	150	8	5.4	-	50	-
Intrasystem borrowers card	3	-	8	-	-	50	-
Intersystem borrowers card	1	137	4	3.3	-	50	-

SOURCE: King Research, Inc. (1) Library System Survey;
(2) Member Library Survey (N=4,593; n=437);
(3) Units of service vary - only row comparisons are valid.
(4) Cost to provide services to academic, research, and special libraries and to other types of libraries calculated by sub-dividing total costs of services reported by RRLRS (see Table 6.12) in proportion to amount of service reported received from RRLRS by libraries of all types (see previous 2 columns).

- Public relations - print
- Public relations
- Grant preparation and administration
- Cooperative collection development
- Communication - electronic mail/bulletin board
- Communication - system newsletters
- Communication - system memos/flyers.

It is worth noting that of the 33 services provided by RRLRS given on Table 3.5, only about ten are provided to libraries that are not academic, research or special libraries.

The services that are used by the greatest number of academic, research and special libraries are:

- ILL request processing
- Verifying and locating materials
- ILL of materials
- Union list/catalog production
- Delivery
- Public relations - print
- Continuing education (members and non-members).

No single RRLRS service is received by more than 75 percent of its academic, research or special libraries. Services that are provided to over half the academic, research or special member libraries are:

- ILL request processing
- ILL of materials.

SERVICES: RRLRS Service Provision (cont.)

The use of RRLRS by other types of libraries (that are members of Public or School Library Systems) is also shown in Table 3.5. The services provided to these other types of libraries are:

● ILL request processing	274 libraries
● Verifying and locating materials	28 libraries
● ILL of materials	359 libraries
● Union list/catalog production	35 libraries
● Delivery - in-system courier	4 libraries
● Catalog production	48 libraries
● Online searching	11 libraries
● Direct access to any library (mem.)	8 libraries
● Intrasystem borrowers card	8 libraries
● Intersystem borrowers card	4 libraries.

As we discussed in the previous subsection, the service provision to numbers of libraries can be misleading. A more accurate indicator of service provision is the amount of service provided. This is shown in Table 3.5 for each service provided. Note that the units of service vary from service to service and only comparisons of service provision to the different types of libraries is valid. More details regarding the amounts of service provided can be found in Section 2.2 and Appendix C.

Several services are reported by public libraries and school libraries (member library survey) to have been provided to them by RRLRS. Of these services, interlibarary loan of materials appears to have the greatest relative amount of services provided to libraries other than academic, research and special. Note that recent data reported to DLD by RRLRS gives the number of requests for loans from PLS and SLS at 38,377 and 9,348 requests for location (vs. 37,000 and 5,000 respectively estimated from the member library survey). The relative proportions of the other services provided to public and school libraries range between 3.8 percent and 14.3 percent.

As observed with Public Library System service provision, the patterns are reflected in the costs of providing services. The total cost of RRLRS services is estimated to be about $5,296,000 (see Table 6.12).

Note that small amounts of services reported in the member library survey are subject to relatively large sampling error (see Section 2.3.3, Table 2.6). Furthermore, libraries may not know that RRLRS actually processed their ILL requests since they may have sent them to PLS or SLS who further referred them to RRLRS. On the other hand, RRLRS have reported data on interlibrary loan that are more accurate (Annual Report 1986-87). In that report, it is shown that 27.3 percent of interlibrary loans and 58.0 percent of location data received are from Public Library Systems and School Library Systems. (The latter come largely from Capitol District.) Applying these proportions to the costs reported on the library systems survey by RRLRS we have the following results:

Table 3.6

COST OF ILL-RELATED SERVICES PROVIDED BY RRLRS TO ACADEMIC, RESEARCH AND SPECIAL LIBRARIES AND TO PUBLIC AND SCHOOL LIBRARIES BY TYPE OF SERVICE: 1988

	Cost ($000)		
Type of Service	Ac/Res/Sp	PLS/SLS	Total
ILL request processing	239	90	329
Verifying and locating materials	155	215	370
ILL of materials	190	72	262
TOTAL	584	377	961

SOURCE: King Research, Inc.

Even though public libraries and school libraries indicate that relatively few of them are direct beneficiaries of RRLRS union list/catalog production, they benefit from loans identified and made from RRLRS or RRLRS members. If we apply the proportion of lending (i.e., 27.3%) to the $620,000 of costs for these services we get $169,000 applied to non-member libraries. Thus, total RRLRS costs (including online searching and continuing education) that involve public and school libraries and their Systems is $573,000 which is 10.8 percent of total costs ($5.3 million) reported by RRLRS in the Library System survey (see Table 6.12). Thus, apparently, about 89.2 percent of RRLRS costs involve direct services to academic, research and special libraries.

As discussed in the previous section, three important indicators of performance are average cost per unit, average ratings of satisfaction by member libraries and average ratings of importance of services (see Table 3.7).

The importance of various System services to the academic, research and special member libraries was measured on the same five-point scale as was used with Public Library System members. The distribution of the importance ratings across 23 services can be summarized as follows (see Table 3.7 for more details):

Average Rating of Importance	Number of Services With Average Rating
>4.75	9
4.50 - 4.75	6
4.00 - 4.50	3
<4.00	4

Table 3.7

REFERENCE AND RESEARCH LIBRARY RESOURCES SYSTEMS PERFORMANCE INDICATORS FOR 23 SERVICES: AVERAGE COST, AVERAGE SATISFACTION RATINGS AND AVERAGE IMPORTANCE RATINGS: 1988

	Average Cost (1) ($)	Average Satisfaction Ratings (2)	Average Importance Ratings (2)
Interlibrary Lending and Borrowing			
ILL request processing	2.91	4.38	4.79
Verifying and locating materials	1.38	3.48	4.84
ILL of materials	3.42	4.30	4.84
Interlibrary Loan Support Mechanisms			
Union list/catalog production	31.00	4.10	4.51
Retrospective conversion	0.47	4.53	4.59
Delivery	2.74	4.15	4.60
Reference, Referral and Research			
Manual searching	8.30	4.24	4.54
Online searching	48.30	4.39	4.76
Referral searching	9.90	4.42	4.56
Performance of Library Operational Functions			
Collection development	520.00	3.20	2.50
Acquisitions and ordering	78.00	3.39	5.00
Cooperative purchasing	140.00	4.57	4.57
Cataloging	9.19	4.66	4.87
Catalog production	3.25	4.77	4.97
Physical processing	5.18	4.83	5.00
Public relations			
- print	2,300.00	3.13	3.55
- newspaper articles	217.00	3.00	3.00

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(1) Library System Survey (20 PLS, 9 RRLRS, 46 SLS). For units see Table 3.4.

(2) Member Library Survey (N = 4,593; n = 437)
Satisfaction ratings: 1 - Very Dissatisfied to 5 - Very Satisfied
Importance ratings: 1 - Very Unimportant to 5 - Very Important

Table 3.7 (continued)

REFERENCE AND RESEARCH LIBRARY RESOURCES SYSTEMS PERFORMANCE INDICATORS FOR 23 SERVICES: AVERAGE COST, AVERAGE SATISFACTION RATINGS AND AVERAGE IMPORTANCE RATINGS: 1988

	Average Cost ($)	Average Satisfaction Ratings	Average Importance Ratings
Support of Library Development			
Consultant services	30.30	4.20	4.47
Grant preparation and administration		4.30	4.80
Continuing education (members and non-members)	3,800.00	4.30	4.22
Enhancement of Interlibrary Cooperation			
Cooperative collection development	3,800.00	3.81	3.32
Communication - electronic mail/bulletin board	23.00		
Direct access to member collections	50.00	4.30	4.40

SOURCE: King Research, Inc.

(1) Library System Survey (20 PLS, 9 RRLRS, 46 SLS). For units see Table 3.4.

(2) Member Library Survey (N = 4,593; n = 437)
Satisfaction ratings: 1 - Very Dissatisfied to 5 - Very Satisfied
Importance ratings: 1 - Very Unimportant to 5 - Very Important

The most important services (i.e., those with an importance rating of over 4.75 out of a possible 5.00) are:

- acquisitions (5.00)
- physical processing (5.00)
- catalog production (4.97)
- cataloging (4.87)
- bibliographic verification and location of potential lending libraries (4.84)
- interlibrary loan of materials (4.84)
- grant preparation (4.80)
- interlibrary loan request processing (4.79)
- online bibliographic database searching (4.76).

The least important services (i.e., those receiving a rating of less than 4.00 out of a possible 5.00) are:

- collection development (2.56)
- public relations - newspaper articles (3.00)
- cooperative collection development (3.32)
- public relations - print products (3.55).

Approximately $1,674,000 are expended in providing the most important group of services to academic, research and special library members of RRLRS. This represents approximately 32.5 percent of the total expenditures. The amount expended on the least important services to academic, research and special libraries is approximately 5.4 percent of the total expenditures.

The academic, research and special libraries that received various RRLRS services were asked to rate their satisfaction with the services received, using the same five-point scale as public libraries. The satisfaction ratings for each service are shown in Table 3.7. The distribution of satisfaction ratings across 23 services is summarized as follows:

Average Rating of Satisfaction	Number of Services With Average Satisfaction
>4.50	5
4.25 - 4.50	7
4.00 - 4.25	4
<4.00	6

Four of the five services with high satisfaction ratings (i.e., over 4.50 out of 5.00) also have high importance ratings. These services are:

- cooperative purchasing (4.57 importance; 4.57 satisfaction)
- cataloging (4.87 importance; 4.66 satisfaction)
- catalog production (4.97 importance; 4.77 satisfaction)
- physical processing (5.00 importance; 4.83 satisfaction)

The other service which received a high satisfaction rating is:

- retrospective conversion (4.59 importance; 4.53 satisfaction).

The services which received low satisfaction ratings (i.e., less than 4.00 out of 5.00) are:

- bibliographic verification and location of potential lending libraries (4.84 importance; 3.48 satisfaction)
- collection development (2.56 importance; 3.20 satisfaction)
- acquisitions (5.00 importance; 3.39 satisfaction).

- public relations - print products (3.55 importance; 3.13 satisfaction)
- cooperative collection development (3.32 importance; 3.81 satisfaction).

Of these services, the bibliographic verification and acquisitions services clearly indicate problems. They should be reviewed by RRLRS to identify the reasons behind the low satisfaction ratings and to determine how they can best be improved. The remaining three services listed above, have both low importance and satisfaction ratings. These services should be reviewed to determine whether or not they should be provided at all.

3.4.3 School Library System Service Provision

The services provided by School Library Systems to their member libraries are displayed in Table 3.8. We mention again that survey results are for participants which are school libraries in school districts (which are SLS members). Most of these services are provided by over half of the Systems.

The School Library Systems provide 25 relevant services of which two are provided to at least half their members. These two services are:

- ILL request processing (2,139 libraries)
- ILL of materials (2,167 libraries).

Note that only two of the services are provided to libraries that are not members of School Library Systems, but which are members of Public Library Systems or RRLRS.

The greatest amounts of service provided to member school libraries are for retrospective conversion and in-system courier services. Both of these services are provided only to school libraries.

TABLE 3.8

SCHOOL LIBRARY SYSTEM SERVICE PROVISION: NO. OF SYSTEMS PROVIDING, NO. OF LIBRARIES RECEIVING, AMOUNT OF SERVICES RECEIVED AND TOTAL COST OF PROVIDING SERVICE BY TYPE OF SERVICE AND BY TYPE OF LIBRARY RECEIVING SERVICE: 1988

Type of Service	Number of Systems Providing Service(1)	Number of Libraries Receiving Service(2)		Amount of Service Received by Libraries(2,3)		Total Cost of Providing Service to Libraries(4)	
		School	Other	School (000)	Other (000)	School ($000)	Other ($000)
Interlibrary Lending and Borrowing							
ILL request processing	46	2,139	56	152	3	397	8
Verifying and locating materials	39	1,344	-	288	-	314	-
ILL of materials	44	2,167	45	358	7	322	6
Interlibrary Loan Support Mechanisms							
Union list/catalog production	43	-	-	-	-	217	-
Retrospective conversion	44	712	-	2,584	-	804	-
In-system courier	20	12	-	191	-	21	-
Performance of Operational Functions							
Materials examination	21	443	-	29	-	19	-
Public relations						84	
- print	37	534	-	-	-		-
- newspaper articles	28	-	-	-	-		-
- radio	7	-	-	-	-		-
- TV	4	-	-	-	-		-
- other	6	-	-	-	-		-
Reference, Referral & Research							
Manual searching	40	226	-	12.1	-	50	-
Online searching	34	362	-	6.7	-	57	-
Online other database searching	?	?	-	0.6	-	38	-
Referral searching	24	144	-	3.0	-	21	-
Support of Library Development							
Consultant services	39	360	-	9	-	709	-
Cont. education (mem. and non-mem.)	39	1,110	-	3.5	-	314	-

TABLE 3.8 continued

SCHOOL LIBRARY SYSTEM SERVICE PROVISION: NO. OF SYSTEMS PROVIDING, NO. OF LIBRARIES RECEIVING, AMOUNT OF SERVICES RECEIVED AND TOTAL COST OF PROVIDING SERVICE BY TYPE OF SERVICE AND BY TYPE OF LIBRARY RECEIVING SERVICE: 1988

Type of Service	Number of Systems Providing Service(1)	Number of Libraries Receiving Service(2)		Amount of Service Received by Libraries(2,3)		Total Cost of Providing Service to Libraries(4)	
		School	Other	School (000)	Other (000)	School ($000)	Other ($000)
Services to Enhance Interlibrary Cooperation							
Cooperative collection development	31	285	-	8.3	-	67	-
Communication						961	
- electronic mail/bulletin board	40	222	-	2.0	-		-
- system newsletters	46	?	-	2.0	-		-
- system memos/flyers	46	?	-	2.0	-		-
Direct access to any library (member)	23	-	-	-	-	57	-
Intrasystem borrowers card	1	-	-	-	-	57	-
Intersystem borrowers card	3	-	-	-	-	57	-
Return of books to any library	25	-	-	-	-	57	-

SOURCE: King Research, Inc. (1) Library System Survey;
(2) Member Library Survey (N=4,593; n=437);
(3) Units of service vary - only row comparisons are valid.
(4) Cost to provide services to school libraries and to other types of libraries calculated by sub-dividing total costs of services reported by SLS (see Table 6.12) in proportion to amount of service reported received from SLS by libraries of all types (see previous 2 columns).

SERVICES: SLS Service Provision (cont.)

Services provided to other types of libraries all fall into the interlibrary lending and borrowing category. The relative proportion of these services estimated to be received by non-school libraries is:

- interlibrary loan of materials (1.9%)
- interlibrary loan request processing (1.9%).

Thus, as with services provided by Public Library Systems and RRLRS, the majority of service provision by School Library Systems is to the member school libraries. This pattern of service provision is reflected in the expenditures of School Library Systems. The total annual expenditures are estimated to be about $5,538,000 (see Table 6.12), of which approximately 99.7 percent is expended on service provision to member school libraries, and only 0.3 percent on services to other types of libraries.

Three important indicators of SLS performance are average cost per unit and average ratings of satisfaction and importance by member libraries (see Table 3.9). The importance of 20 relevant services were rated by libraries in the member library survey. Importance of services were rated on a five-point scale from 1 - Not at all Important to 5 - Very Important. The distribution of the importance ratings across 23 services can be summarized as follows from Table 3.9:

Average Rating of Satisfaction	Number of Services With Average Satisfaction
>4.75	5
4.50 - 4.75	6
4.00 - 4.50	8
<4.00	0

Table 3.9

SCHOOL LIBRARY SYSTEMS PERFORMANCE INDICATORS FOR 19 SERVICES:
AVERAGE COST, AVERAGE SATISFACTION RATINGS AND
AVERAGE IMPORTANCE RATINGS: 1988

	Average Cost (1) ($)	Average Satisfaction Ratings (2)	Average Importance Ratings (2)
Interlibrary Lending and Borrowing			
ILL request processing	3.15	4.59	4.74
Verifying and locating materials	4.18	4.43	4.76
ILL of materials	2.73	4.70	4.70
Interlibrary Loan Support			
Union list/catalog production	36.00	3.59	4.64
Retrospective conversion	1.23	4.49	4.77
Delivery	0.28	5.00	4.81
Reference, Referral and Research			
Manual searching	12.60	4.46	4.34
Online searching	15.30	3.31	4.36
Referral searching	10.10	4.10	4.09
Performance of Library Operational Functions			
Catalog production		4.45	4.64
Physical processing			4.00
Materials examination	3.90	4.61	4.55
Public relations			
- print	5.00	4.23	4.39
- newspaper articles	96.00	4.23	4.39
- TV	660.00		4.39

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(1) Library System Survey (20 PLS, 9 RRLRS, 46 SLS). For units see Table 3.4.

(2) Member Library Survey (N = 4,593; n = 437)
Satisfaction ratings: 1 - Very Dissatisfied to 5 - Very Satisfied
Importance ratings: 1 - Very Unimportant to 5 - Very Important

Table 3.9 (continued)

SCHOOL LIBRARY SYSTEMS PERFORMANCE INDICATORS FOR 19 SERVICES:
AVERAGE COST, AVERAGE SATISFACTION RATINGS AND
AVERAGE IMPORTANCE RATINGS: 1988

	Average Cost (1) ($)	Average Satisfaction Ratings (2)	Average Importance Ratings(2)
Support of Library Development			
Consultant services	29.50	4.10	4.68
Continuing education (members and non-members)	330.00	4.30	4.77
Enhancement of Interlibrary Cooperation			
Cooperative collection development	1,00.00	4.20	4.30
Communication			
- electronic mail/bulletin board	2.00	3.69	
Direct access to member collections	25.00		4.77

SOURCE: King Research, Inc.

(1) Library System Survey (20 PLS, 9 RRLRS, 46 SLS). For units see Table 3.4.

(2) Member Library Survey (N = 4,593; n = 437)
Satisfaction ratings: 1 - Very Dissatisfied to 5 - Very Satisfied
Importance ratings: 1 - Very Unimportant to 5 - Very Important

The most important services (i.e., those with an importance rating of over 4.75 out of a possible 5.00) are:

- in-system courier (4.81)
- retrospective conversion (4.77)
- continuing education (4.77)
- direct access to any member library (4.77)
- bibliographic verification and location of potential lending library (4.76).

The least important services (i.e., those receiving a rating of less than 4.25 out of a possible 5.00) are:

- physical processing (4.00)
- referral searching services (4.09).

Approximately $1,507,000 are expended in providing the most important group of services to member school libraries. This represents approximately 28.4 percent of the total expenditures. The amount expended on the least important services is $21,000 or 0.4 percent of the total.

The member school libraries that received School Library System services were asked to rate their satisfaction with the services received, using the same five-point scale as before. The average satisfaction ratings for each service are shown in Table 3.9. The distribution of satisfaction ratings across 17 services is summarized as follows:

Average Rating of Satisfaction	Number of Services With Average Satisfaction
>4.50	4
4.25 - 4.50	5
4.00 - 4.25	5
<4.00	3

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Only one of the four services with high satisfaction ratings (i.e., over 4.50 out of 5.00) also has a high importance rating (i.e. over 4.75 out of 5.00). The four services are:

- in-system courier (4.81 importance; 5.00 satisfaction)
- interlibrary loan request processing (4.74 importance; 4.59 satisfaction)
- interlibrary loan of materials (4.70 importance; 4.70 satisfaction)
- materials examination (4.55 importance; 4.61 satisfaction).

The services which received relatively low satisfaction ratings (i.e., below 4.00 out of 5.00) are:

- online bibliographic searching (4.36 importance; 3.31 satisfaction)
- union list/catalog production (4.64 importance; 3.59 satisfaction)
- electronic mail/bulletin board (4.51 importance; 3.69 satisfaction).

These services should be reviewed by School Library Systems to determine the reason for the low satisfaction ratings and to determine how best to improve the services.

3.5 SUGGESTED BASIC LIBRARY SYSTEM SERVICES

A question arises concerning what basic services Library Systems should provide. There ae certain minimum services that each Libray System should provide or arrange on behalf of member libraries. These basic services may not be provided by the System, but rather arranged with other Library Systems, Central Libraries, other libraries, vendors, etc. We believe that basic services differ among the three types of Library Systems. However, four criteria for determining the basic services for each of the types of Library Systems are as follows:

Amount of use and importance of service to member libraries.

Amount of use of a service is an indicator of the value of the service, particularly if the use is demand-driven such as with interlibrary borrowing, reference, referral and research, etc. Another indicator of value is the importance of services as perceived by member libraries.

Extent of economies of scale achieved by centralizing services.

As shown in Section 2.2.3 there are tremendous savings from centralizing services. Thus, one criterion is amount of such savings.

Availability and potential continued availability of services from alternative sources (e.g., bibliographic utilities, vendors, suppliers, etc.).

One indicator of the value of Library Systems is how much less they cost to provide service than alternative sources. Library Systems must continually examine whether there are alternative sources of services which are less expensive and perform at least as well as current services. If a better alternative is available, the Library System should be responsible for arranging for the service (if it is a basic service determined by other criteria).

Whether the member libraries are publicly funded institutions.

By publicly funded institutions we mean public libraries, public school and publicly-funded universities and colleges. Thus, it is irrelevant whether the State funds central facilities or the institutions themselves to provide services or support operations. However, we believe some services (e.g., operational services such as technical processing) should not be provided to private organizations, such as companies, since the services would normally be an operational activity of the organization.

We recommend that **Basic Library System services should be designated by DLD. These services should be those that show a clear evidence of economies of scale, other favorable cost effectiveness or that must be provided because no other satisfactory alternative sources are available (Recommendation S29).**

With the four criteria in mind, we believe the following services should be considered basic services.

SUGGESTED BASIC LIBRARY SYSTEM SERVICES (cont.)

Public Library Systems (PLS)

- ILL request processing (1.1)
- Verifying and locating materials (3)
- Interlibrary loan of materials (2.1, 2.2)
- Union list/catalog production (4.9)
- Retrospective conversion (4.7)
- Delivery (4.14.2)
- Circulation control (4.1)
- Acquisitions and ordering (4.4)
- Cataloging (4.6)
- Catalog production (4.8)
- Physical processing (4.10)
- Reference and referral (4.12.1 - 4.12.4)
- Consultant services (4.16.1 - 4.16.7)
- Grant preparation and administration (10.1 - 10.7)
- Continuing education (5.1 - 5.3)
- Outreach services (6.1 - 6.12)
- Communication services (7.1)
- Direct access to member collections (12.1 - 12.4)
- Computer facilities (8)

Reference and Research Library Resources Systems (RRLRS)

- ILL request processing (1.1)
- Verifying and locating materials (3)
- Union list/catalog production (4.9)
- Retrospective conversion (4.7)
- Delivery (4.14.2)
- Reference, referral and research (4.12.1 - 4.12.5)
- Consultant services (4.16.7 - 4.16.13)
- Continuing education (5.1 - 5.3)
- Communication services (7.1)
- Direct access to member collections (12.1 - 12.4)

School Library Systems (SLS)

We believe that School Library Systems should provide (or arrange) many of the shared or cooperative operational services now being provided to public libraries by PLS (including computer facilities). However, further evidence needs to be gathered to determine which of these services should be provided, how much and how they should be funded. Other basic services for SLS are as follows:

- ILL request processing (1.1)
- Verifying and locating materials (3)
- Interlibrary loan of materials (2.1, 2.2)
- Union list/catalog production (4.9)
- Retrospective conversion (4.7)
- Delivery (4.14.4, 4.14.5)
- Reference and referral (4.12.1 - 4.12.4)
- Consultant services (4.16.7, 4.16.10 - 4.16.12)
- Continuing education (5.1 - 5.4)
- Communication services (7.1)
- Cooperative collection development (4.3)
- Direct access to member collections (12.1 - 12.4)

3.6 USE OF AUTOMATION AND RELATED TECHNOLOGIES

Library automation has evolved very rapidly over the last decade (and will probably change even more rapidly over the next decade). Recent advances in technology have led to significant improvements in performance and reductions in the cost of automated Library Systems. As a result, three trends have evolved which are seriously affecting library services. These trends are:

- Successive improvements in the capabilities of data processing equipment available at steadily decreasing prices.
- Rapid increases in the number of information processing organizations developing new information products and services.

- Large-scale increases in the numbers of machine-readable databases used by, and produced by, libraries.

The traditional role of the library in terms of materials handled and mode of operation is continually changing as a result of population, economic, cultural and technological change. The main effect of the technological change is the availability of more sophisticated, more reliable, more efficient and less expensive information systems, services and products. These assist both library users in identifying, locating and delivering needed materials and information, as well as library staff in managing and supporting the internal operations and services of the library.

3.6.1 Current Use of Automation and Related Technologies

The Library Systems in New York State use various automated systems, services and related technologies to support the functions they perform. The reported number of Systems currently using some form of automation or related technology is displayed in Table 3.10. Note that the number of Systems reported in the table are the actual number of Systems which indicated their use of automation. Not all Systems responded to this portion of the survey. The numbers of respondents are listed at the bottom of the table. The most frequently automated functions are retrospective conversion (which includes a variety of sub-applications like mailing list maintenance, etc.), word processing and electronic mail/bulletin board (which again is by nature automated). All of these functions are automated by over 75 percent of the Library Systems in the State.

Table 3.10

CURRENT REPORTED USE OF AUTOMATION BY LIBRARY SYSTEMS BY FUNCTION OF USE AND BY TYPE OF LIBRARY SYSTEM IN NEW YORK STATE: 1988

FUNCTION	PLS	RRLRS	SLS	Total
Circulation	10	-	7	17
Word Processing	19	9	38	66
Acquisition	7	-	6	13
Cataloging	19	6	22	47
Retrospective conversion	20	8	38	66
Catalog Production/Maintenance	16	7	33	56
Public Access Catalog	9	-	7	16
Materials Bookings/Scheduling	4	1	2	3
Serials Control	2	3	8	13
Reference	11	8	31	50
Interlibrary Loan (1)	13	9	23	45
Electronic Document Delivery	1	1	3	5
Electronic Mail/Bulletin Board	15	7	40	61
Budgeting and Accounting	15	7	22	43
Union Lists	1	1	2	4
Local Databases/Reference Support	1	2	-	3
CD-ROM	-	-	2	2
Other	-	2	4	6

SOURCE: King Research, Inc. Survey of Library Systems (19 PLS, 9 RRLRS, 44 SLS).

(1) All PLS and RRLRS have access to NYSILL which uses automation and telecommunications for transmission of interlibrary loan requests.

The use of automation varies somewhat by type of Library System. The PLS are mostly automated (i.e., more than 75 percent are using automation) in the following functional areas: restrospective conversion, word processing, cataloging, catalog production and maintenance, electronic mail/bulletin board and budgeting and accounting. Table 3.11 shows the current functions automated, the functions planned for automation within the next two years, and the functions being considered for automation over the next five years. The functions where most upcoming automation is planned are acquisitions, materials booking/scheduling, serials control, electronic document delivery.

More than 75 percent of RRLRS have automated the functions of word processing, interlibrary loan, retrospective conversion, catalog production and maintenance, electronic mail/bulletin board, and budgeting and accounting. These are identical to the functions automated by most PLS, with the single exception of interlibrary loan. Table 3.12 shows the functions currently automated, planned in the next two years, and considered for automation over the next five years. The main area of automated systems acquisition for RRLRS in the near future is electronic document delivery.

More than 75 percent of School Library Systems have automated the following functions: electronic mail/bulletin board, retrospective conversion, and word processing. Table 3.13 shows that the main areas for development in automation activities in SLS will be: circulation, public access catalog, interlibrary loan and electronic document delivery.

Note that the functions that Systems have or will automate are not necessarily automated at the System headquarters. Some functions are automated by contractors, vendors, member libraries, etc.

Table 3.11

REPORTED STATUS OF AUTOMATION BY OR FOR PUBLIC LIBRARY SYSTEMS BY FUNCTION OF USE IN NEW YORK STATE: 1988

FUNCTION	CURRENTLY AUTOMATED	PLANNING (1) AUTOMATION	CONSIDERING AUTOMATION
Circulation	10	6	1
Word Processing	19	1	-
Acquisition	7	11	1
Cataloging	19	1	-
Retrospective conversion	20	-	-
Catalog Production/Maintenance	16	3	1
Public Access Catalog	9	3	3
Materials Bookings/Scheduling	4	6	5
Serials Control	2	4	6
Reference	11	1	3
Interlibrary Loan	13	4	1
Electronic Document Delivery	1	4	11
Electronic Mail/Bulletin Board	15	3	1
Budgeting and Accounting	15	4	1
Union Lists	1	-	-
Local Databases/Reference Support	1	1	-
CD-ROM	-	-	-
Other	-	-	-

SOURCE: King Research, Inc. Survey of Library Systems (19 PLS, 9 RRLRS, 44 SLS).

(1) Some have in 1989.

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Table 3.12

REPORTED STATUS OF AUTOMATION BY OR FOR REFERENCE AND RESEARCH LIBRARY RESOURCES SYSTEMS BY FUNCTION OF USE IN NEW YORK STATE: 1988

FUNCTION	CURRENTLY AUTOMATED	PLANNING AUTOMATION	CONSIDERING AUTOMATION
Circulation	-	-	-
Word Processing	9	-	-
Acquisition	-	-	-
Cataloging	6	-	-
Retrospective conversion	8	-	-
Catalog Production/Maintenance	7	-	-
Public Access Catalog	-	1	-
Materials Bookings/Scheduling	1	1	-
Serials Control	3	1	-
Reference	8	-	-
Interlibrary Loan	9	-	-
Electronic Document Delivery	1	6	1
Electronic Mail/Bulletin Board	7	1	1
Budgeting and Accounting	7	1	-
Union Lists	1	-	-
Local Databases/Reference Support	2	-	-
CD-ROM	-	-	-
Other	2	-	-

SOURCE: King Research, Inc. Survey of Library Systems (19 PLS, 9 RRLRS, 44 SLS).

Table 3.13

REPORTED STATUS OF AUTOMATION BY OR FOR SCHOOL LIBRARY SYSTEMS BY FUNCTION OF USE IN NEW YORK STATE: 1988

FUNCTION	CURRENTLY AUTOMATED	PLANNING AUTOMATION	CONSIDERING AUTOMATION
Circulation	7	2	12
Word Processing	38	4	-
Acquisition	6	1	5
Cataloging	22	2	5
Retrospective conversion	38	1	2
Catalog Production/Maintenance	32	2	-
Public Access Catalog	7	6	10
Materials Bookings/Scheduling	2	3	3
Serials Control	8	4	3
Reference	31	4	2
Interlibrary Loan	23	8	7
Electronic Document Delivery	3	8	14
Electronic Mail/Bulletin Board	40	4	-
Budgeting and Accounting	22	6	-
Union Lists	2	-	-
Local Databases/Reference Support	-	-	-
CD-ROM	2	-	-
Other	4	-	-

SOURCE: King Research, Inc. Survey of Library Systems (19 PLS, 9 RRLRS, 44 SLS).

Automation and related technologies are also used by member libraries. Table 3.14 shows the estimated current use of automation and related technologies in member libraries (member library survey). The greatest proportion of member public libraries have microcomputers for patron use (51% of member public libraries). Other functions automated by over one-third of member public libraries are word processing (46%), interlibrary loan (37%), and cataloging (34%). The planning for and consideration of automating functions within the next two to five years by member public libraries is shown in Table 3.15. The functions where considerable automation activity can be expected are circulation, interlibrary loan, public access catalog, acquisitions, and budgeting and accounting.

Academic, research and special libraries that are members of RRLRS have mostly automated the functions of word processing (77%), reference (75%), cataloging (62%), interlibrary loan (62%) and retrospective conversion (53%). Over half of the academic, research and special member libraries have automated these functions. The planned automation and functions under consideration for automation within the next two to five years are shown in Table 3.16. The functions which can be expected to show the greatest increase in automation activity over the next five years are serials control, public access catalog, electronic document delivery, circulation, and acquisitions.

The most automated functions in member school libraries are microcomputers for patron use (60%), word processing (59%), cataloging (26%) and electronic mail/bulletin board (20%). Clearly, the member school libraries generally have less automation than the other types of member libraries. The functions planned and under consideration for automation are shown in Table 3.17. The functions where most new automation activity can be expected in member school libraries over the next five years are: circulation, acquisitions, cataloging, reference, public access catalog, catalog production and maintenance, electronic mail/bulletin board, and budgeting and accounting.

Table 3.14

LIBRARY SYSTEM MEMBERS CURRENTLY USING AUTOMATION BY FUNCTION OF USE BY TYPE OF LIBRARY IN NEW YORK STATE: 1988

FUNCTION	PUBLIC (%)	AC/RES/SPEC (%)	SCHOOL (%)
Circulation	24	24	13
Word Processing	46	77	59
Microcomputers for Patron Use	51	31	60
Acquisitions	21	24	15
Cataloging	34	62	26
Retrospective conversion	29	53	12
Catalog Production/Maintenance	25	44	14
Public Access Catalog	12	20	5
Materials Bookings/Scheduling	3	7	5
Serials Control	4	13	9
Reference	12	75	11
Interlibrary Loan	37	62	17
Electronic Document Delivery	8	8	1
Electronic Mail/Bulletin Board	24	30	20
Budgeting and Accounting	25	24	9
Other	8	12	11

SOURCE: King Research, Inc. Member Library Survey (N = 4,593; n = 437)

Table 3.15

STATUS OF AUTOMATION IN MEMBER PUBLIC LIBRARIES BY FUNCTION OF USE IN NEW YORK STATE: 1988

FUNCTION	CURRENTLY AUTOMATED (%)	PLANNING AUTOMATION (%)	CONSIDERING AUTOMATION (%)
Circulation	24	29	26
Word Processing	46	8	17
Microcomputers for Patron Use	51	8	19
Acquisitions	21	17	23
Cataloging	34	11	12
Retrospective conversion	29	8	8
Catalog Production/Maintenance	25	8	11
Public Access Catalog	12	22	27
Materials Bookings/Scheduling	3	13	13
Serials Control	4	12	17
Reference	12	6	24
Interlibrary Loan	37	24	14
Electronic Document Delivery	8	3	14
Electronic Mail/Bulletin Board	24	10	11
Budgeting and Accounting	25	13	15
Other	8	1	1

SOURCE: King Research, Inc. Member Library Survey (N = 4,593; n = 437)

Table 3.16

STATUS OF AUTOMATION IN MEMBER ACADEMIC, RESEARCH AND SPECIAL LIBRARIES BY FUNCTION OF USE IN NEW YORK STATE: 1988

FUNCTION	CURRENTLY AUTOMATED (%)	PLANNING AUTOMATION (%)	CONSIDERING AUTOMATION (%)
Circulation	24	16	28
Word Processing	77	9	7
Microcomputers for Patron Use	31	13	23
Acquisitions	24	15	29
Cataloging	62	9	15
Retrospective conversion	53	10	12
Catalog Production/Maintenance	44	19	15
Public Access Catalog	20	23	26
Materials Bookings/Scheduling	7	9	22
Serials Control	13	25	28
Reference	75	9	11
Interlibrary Loan	62	12	8
Electronic Document Delivery	8	17	28
Electronic Mail/Bulletin Board	30	8	23
Budgeting and Accounting	24	12	21
Other	12	2	1

SOURCE: King Research, Inc. Member Library Survey (N = 4,593; n = 437)

Table 3.17

STATUS OF AUTOMATION IN MEMBER SCHOOL LIBRARIES
BY FUNCTION OF USE IN NEW YORK STATE: 1988

FUNCTION	CURRENTLY AUTOMATED (%)	PLANNING AUTOMATION (%)	CONSIDERING AUTOMATION (%)
Circulation	13	23	47
Word Processing	59	9	16
Microcomputers for Patron Use	60	9	9
Acquisitions	15	14	32
Cataloging	26	23	23
Retrospective conversion	12	17	26
Catalog Production/Maintenance	14	18	23
Public Access Catalog	5	14	26
Materials Bookings/Scheduling	5	5	27
Serials Control	9	15	20
Reference	11	19	26
Interlibrary Loan	17	18	26
Electronic Document Delivery	1	8	26
Electronic Mail/Bulletin Board	20	16	25
Budgeting and Accounting	9	17	24
Other	11	2	1

SOURCE: King Research, Inc. Member Library Survey (N = 4,593; n = 437)

3.6.2 State-Level Plans for Use of Automation and Technology

A strategic plan for the use of advanced technologies for library resource sharing in New York State, *Libraries & Technology*, was released in 1987. This document should serve as the primary guide to the future evolution of coordinated automated systems applications in libraries. The Plan identifies five main goals of State-level automation as:

- access to information by all residents of New York State - both to information traditionally available in libraries and to current information and referral services;
- availability of information for the State's continued economic development;
- resource sharing by libraries within the State;
- cost-effective library operations in New York, guaranteeing optimum benefit from State and Federal funds;
- access to information outside New York via links to other state, regional and national systems.

The Plan includes twenty recommendations in four areas:

General Recommendations

1. Develop operational and financial plan
2. Take leadership role in telecommunication
3. Convene biennial review committee

Database Recommendations

4. Facilitate access to defined database
5. Provide State-level leadership
6. Ensure balanced development
7. Develop criteria for balance
8. Ensure access and local commitment

Linking Recommendations

9. Constitute linkage standards task force
10. Adopt ISO/OSI standards
11. Support linkage efforts
12. Test and verify specific systems
13. Include offline databases

Consulting and Training Recommendations

14. Develop automation training database
15. Dispense vendor information
16. Identify needs and sponsor training
17. Provide library school access
18. Support advanced technology internships
19. Develop training packages
20. Obtain deep volume discounts.

One important development that has implications for the future evaluation of automation in New York State's libraries and Library Systems is the establishment of Technology Network Ties (TNT). TNT is planned to be a single comprehensive education telecommunications network for management and educational services across the entire State. TNT's implementation is proceeding more slowly than originally anticipated and libraries are not seen as a priority user. Other network developments should be considered as options. Other networks in place which will become integrated with TNT include NYSERNET and SUNYNET. NYSERNET will connect research universities across the State and will provide access to the supercomputer center at Cornell University and, through that, to the supercomputer center at Princeton University and ultimately to the National Science Foundation's nationwide supercomputer network, NSFNET. SUNYNET connects the University Centers and Central Administration, and the 17 campus computer centers. Another development is SUNYSAT, a satellite network established for the 63 sites of SUNY. It will be possible for others to implement appropriate hardware and use the system. SUNYSAT is intended primarily for video transmission and could be useful as a vehicle for distance education. Furthermore, a Statewide fiber optics network has been proposed. These developments will create an infrastructure to support all forms of communications and messaging, including public access to library information, library to Library System communications, Library System to Library System communications, etc.

3.6.3 Issues Concerning Library Automation and Technology

The use of automated systems by Library Systems and member libraries can help improve the effectiveness of services provided to the library users and the efficiency of operation of the Library System or member library.

During the course of this study issues relating to three automation/technology areas arose:

- stand-alone and shared automated library systems
- online and CD-ROM catalogs
- use of automation for statistical recordkeeping.

Stand-Alone and Shared Automated Library Systems

The trend in library automation today is in the direction of integrated systems supporting multiple library functions. Examples of the functions supported are cataloging, catalog maintenance, circulation, acquisitions, online public access catalog, serials control, materials booking and scheduling, inventory control, community bulletin board, etc. The advantage of the integrated system over the special-purpose single function systems include the minimization of data input and storage requirements; the disadvantage is the possibility of a certain loss of customization for specific functions.

The issue relating to integrated library systems is whether individual libraries should acquire such automated systems themselves, or whether they should share them. At present at least 12 Public Library Systems have acquired and are operating integrated library systems for their member libraries. There are advantages to both sharing and having individual stand-alone systems. With a shared system the advantages include:

- a shared database (especially if a union database is supported) which minimizes storage requirements and enables any user of the system to identify the current availability of materials in their own libraries as well as in other libraries sharing the system
- sharing of the costs associated with the acquisition, operation and maintenance of the system, staff and facilities.

The disadvantages of a shared system include:

- loss of autonomy and direct control over system operations
- there may be a need to compromise on specific features of the system to meet the meeds of the majority of libraries sharing
- if a union database is supported a master bibliographic record is required; local variations will not be available.

The advantages and disadvantages of a stand-alone system are the opposite of those mentioned above for shared systems.

In previous studies conducted by King Research, the costs of automating individually and through shared systems have been estimated. Naturally, these cost data are only approximate as exact costs can only be prepared for specific combinations of libraries. But, as an indication of orders of magnitude, the costs of automating individually run from about $3,000 upwards per terminal per year. The costs for sharing a system run from about $1,500 upwards per terminal per year. Both of these figures are dependent upon the exact combination of modules (functions) included and on the number of terminals to be connected to the system.

The decision of whether to automate individual libraries or groups of libraries should be based on a careful evaluation of the costs and benefits of each. Library Systems that have not automated should investigate the interest in and costs of automating Systemwide. Note though, that as with all of our critical mass discussions, many of the larger libraries have a sufficient critical mass to warrant automation independently. If they have already done so, the potential for expanding those systems to support other member libraries should be explored.

A second issue with these integrated library systems relates to the level of compatibility that exists among them. First it is important to recognize that the issue of compatibility is directly related to the need for information about the holdings of other libraries or Library Systems. This issue is also addressed relative to the online and CD-ROM issue that follows.

At the present time, different integrated library systems can be interconnected or linked only at a relatively low (unsophisticated and non-transparent) level. Using standard computer-to-computer communications protocols a user of one integrated library system can access another integrated library system, but has to interact with the second system using its proprietary query language. Thus, to access several different vendors' systems requires some knowledge of the query language of each. The situation is eased to some extent with the developments that have been made in the online public access catalog modules of integrated library systems, in that they are designed to be helpful and easy to use; unfortunately, there is still considerable room for improvement.

In the last few years there have been several attempts to develop transparent interfaces among integrated library systems so that the users are not aware that another library's or Library System's automated system is any different from their own local systems. Such interfaces typically involve interface processors with software which translates commands from one system's language to another's. The Irving system, developed in Colorado and now in the process of being implemented in other states, is one example. There are two problems with this approach to interconnection at the present time. First, the interface programs often need updating as new releases of the integrated library system are issued (usually twice per year). Second, the performance of the interfaces is very slow.

In the not too distant future (3-5 years) a different solution is likely. This is based on the notion of a common command set for online public access catalogs (based in fact on the Common Command Set for access to bibliographic databases which was initially developed in Europe for Euronet access). The common command set for online public access catalogs will be a common basic set of commands for a user to access an online catalog. Vendors adopting the common command set will provide the set as part of their own software packages. Users of each system will be able to choose to search their own library's/Library System's automated system with the proprietary command language or the common command set. They will be able to search other (different) automated systems using the common command set. The common command set is likely to be the one of the top layer applications of the Open Systems Interconnection (OSI) protocol currently in development. This protocol is expected to become the standard for all computer-to-computer interconnections and the majority of integrated library system vendors are already committed to implementing the protocol layers as they become available. The full protocol will consist of seven layers. Layers 1-4 have been developed (layers 1-3 are readily available in the U.S.; layer 4 is currently only available in Europe). The OSI/common command set approach is viewed by King Research as the most likely scenario for the future linkage of integrated library systems.

Online or CD-ROM Catalogs

The second major issue regarding automation and technology is the issue of whether machine-readable catalogs should be made available online or in CD-ROM form. This issue is generally cast into an "either/or" mold. In fact, the two forms of catalog are not mutually exclusive, in the same way that card, microform, and online catalogs have not been mutually exclusive in the past.

An online catalog is accessed by terminals or workstations using dedicated or dial-up connections. The information accessible through the online public access catalog of an integrated library system includes the holdings of the library or Library System (if shared at the Library System level), together with the current availability status of each item. In this way the user can see items on order, whether items are out on loan and, if so, when they are due back, and whether they have been reserved or not. This form of catalog provides the library user with all the information available about a library's or group of libraries' collections.

Until the last six months or so, CD-ROM catalogs made the same information about the holdings available, but did not provide current availability status information. The reason for this is that the CD-ROM catalog was produced at predetermined intervals of time and was not connected to the circulation and acquisitions subsystems for availability status. Information about the materials acquired between the last mastering of the CD-ROM disc(s) and the time of searching were also not available to the user. This loss of availability status was traded off against the elimination of the need for extensive telecommunications linkages between the online catalog workstations and the central processor(s).

Recent developments in the CD-ROM technology area have resulted in the ability to "interfile" the circulation and current acquisitions information (held on a hard disk) with the CD-ROM catalog information. However, the cost of the workstations needed for this capability is much higher than for the situation described above. For libraries with the need for relatively small numbers of catalog workstations, the CD-ROM catalog approach may make sense. For libraries with the need for large numbers of workstations, an online catalog may be more cost-effective. The main factors to be considered in the decision of which form of catalog to implement are the cost of telecommunications and the numbers of workstations needed and the degree of need for current information.

This issue of online and CD-ROM catalogs applies at the local (individual library) level, the System level, the regional level and the Statewide level. The possibility exists for both online and CD-ROM catalogs to co-exist and for the same catalogs to be available in both forms, especially until telecommunications become cost-effective across the entire State.

The current costs of producing a CD-ROM disc are $2,500 to master a single disc, and anywhere from $2 to $20 for each copy produced. Each disc can store between 500,000 and 2.2 million MARC records; at the upper end of this range data compression techniques are needed. The costs of preprocessing the data prior to disc mastering are usually much higher than the actual cost of mastering and copying the discs. The processing of records from a single source (i.e., cataloging or retrospective conversion source) costs about $0.02 per record. Additional processing needed across sources costs about $0.015 per record.

Use of Automation for Statistical Recordkeeping

One of the key areas for the future application of automated library systems and microcomputers is statistical recordkeeping and analysis. The integrated library systems discussed above do offer the opportunity to keep various statistics and reports related to the functions that are supported by them. At present many of these systems offer specific sets of reports which have been designed by the vendors. Recognizing that the data collected and tabulated by these systems could be extremely useful in library decision-making, the vendors are moving towards the provision of flexible recordkeeping and report generation modules. This means that library managers can decide which statistics to keep, in what format, and can produce reports to their own specifications. The vendors are also moving in the direction of being able to either interface with fairly common spreadsheet programs like Lotus 1-2-3 or Multiplan, or to incorporate them into the integrated library system.

While the integrated library systems can help keep track of statistics related to the specific functions they support, they cannot keep track of other statistics (until they incorporate general purpose database management software or spreadsheet programs); and libraries and Library Systems that have not yet automated need some recordkeeping capability. In these two instances a microcomputer-based spreadsheet package is recommended. The types of data and statistics that should be kept are discussed in Section 7 of this report. We recommend that **DLD should initiate a project to design a common statistical recordkeeping system which (like the common command set) could be used as a base set by all Library Systems (Recommendation S30).** Any System wishing to keep additional statistics could do so, but all Systems should keep the basic set in a common format.

In addition to the Library Systems keeping statistics, DLD should be able to receive and process the common sets of statistics in machine-readable form. Diskettes could be used to transfer that data annually to DLD.

SECTION 4

LIBRARY SYSTEM STRUCTURE AND INTERSYSTEM RELATIONSHIPS

4.1 BACKGROUND CONCERNING LIBRARY SYSTEM STRUCTURE AND INTERSYSTEM RELATIONSHIPS

In this section we examine the merits of multitype and library-type specific structures. In a multitype structure a System provides services to more than one type of library (e.g., public, special, school, etc.). In a library-type specific structure a System furnishes services to only one type of library. While each type of structure has some benefits, most current services tend to lend themselves to library-type specific services and the Library Systems are currently devoting most of their costs to library-type specific services. We also discuss problems with Library System structure and intersystem relationships. These problems were identified from the survey and from personal interviews with Library System staff, open meetings and regional meetings. Comments concerning problems with structure and interrelationships and suggestions for improvement in these areas are given in Appendix E. As a result of extensive analysis we have made recommendations concerning structure and interrelationships that help ensure that every type of library is well served by Library Systems and that a high degree of cooperation continues among libraries and Library Systems.

4.2 SUMMARY OF FINDINGS CONCERNING STRUCTURE

The key issues regarding the structure of Library Systems in New York State are what types of Systems should exist, how many should there be, and whom should they serve. At present there are three types of Library Systems. The domains of these Library Systems are basically defined by a combination of type of library served (i.e., public, school, and academic, research and special) and geographic boundaries. Public Library Systems (PLS) generally serve public libraries within county boundaries, although many serve public libraries in multiple counties; School Library Systems (SLS) serve school libraries within BOCES or Big City School District geographic boundaries; and Reference and Research

Library Resources Systems (RRLRS) serve academic, research and special libraries, a few public libraries and Public and School Library Systems within nine designated geographic regions.

Three basic structures that one can adopt for all Library System services or for individual services are:

(1) **Multitype**. In a total multitype structure Library Systems would provide all services to all types of libraries. The domain of Library Systems then would be determined by economies of scale and other factors for each service. There is a basic trade-off between geographic area covered and amount of service necessary to achieve economies of scale. Also, it is desirable to have Library Systems provide a "group" of related services. That is, it does not make sense to have an independent multitype operation for each service just because of economies of scale or geographic region. Some services might be provided on a local basis (if economies of scale warrant it), regional basis or statewide basis. Geographic boundaries would only be arbitrary domains established by attempting to keep appropriate services to member libraries as close as possible and yet achieve economies of scale.

Based on the amount of services currently provided in the State, it could reasonably be expected that there would be roughly 20 to 30 "local" multitype Library Systems for a broad range of services that achieve economies of scale, but do not cover too large an area. If the 76 Library Systems studied were restructured to achieve a total multitype structure, all SLS services could be folded into current PLS and/or RRLRS (with the new multitype structures given new names). Most services currently provided on a regional basis by RRLRS would also be done by these "local" multitype Library Systems (particularly ILL request processing, verification, reference, all operational activities, some workshops, and some consulting such as for hospital libraries).

At the regional level, services would then include such services as (1) coordination of retrospective conversion and union list/catalog production, establishment of ILL and reference protocols and regional automated processing centers (when appropriate) and direct reciprocal access services; and (2) such services as overseeing delivery, some consulting, and some continuing education. There could be regional Library Systems for these services or some local Library Systems could assume the broader, regionwide responsibility for some services.

(2) **Library-type Specific**. A library-type specific structure is one in which a Library System primarily serves only one type of library (e.g., PLS serves only public libraries). Library types could include public, academic, school, special, etc. These types could be grouped by combining subtypes of libraries (e.g., academic, research and special; public and private schools; etc.) in order to provide services that meet common needs.

(3) **Combination of Multitype and Library-type Specific**. This structure would be determined by a combination of types of libraries to serve on a service by service basis. There are certain library services which are library-type dependent. Such services include cataloging, reference (referral and research), some consulting, some continuing education, most outreach services, and so on. There are other services which are common to most types of libraries. Such services would include some consulting, some continuing education, processing of interlibrary loan requests, delivery, most operational support services (e.g., physical processing, etc.). In a combination multitype and library-type specific structure, one would assess services on a service by service basis and establish which type of System would best provide each of the services.

Even with our recommendations concerning changes to current service provision taken into account, total multitype Library Systems cannot deal quite as well with all the individual characteristics of the different types of libraries served. On balance, by building on the strengths of the existing three types of Library Systems and establishing a mechanism for cooperation among them, we believe that New York State can benefit from the advantages of multitype Library Systems and overcome some of the disadvantages.

The way this can be done is for some Library Systems to contract with other Library Systems (or other organizations) for services in which economies of scale are not achieved or when other factors dictate that another Library System is more appropriate. For example, some SLS services are clearly not cost effective due to economies of scale. These services can be provided less expensively by a PLS, Central Library, or by arranging with another SLS to provide these services. If a sufficient number of services are not cost effective, it is appropriate for Library Systems to merge. There is ample evidence in the study to determine this on a System by System basis. Generally the Library System would pay the other Library System to perform the work. Another situation is when a Library System does not provide a service to its member libraries which another Library System does offer. In this case, the member libraries should be able to obtain such services from another Library System through a contract between the two Systems.

Moreover, another reason that a total multitype structure is not warranted is that evidence suggests that the amount of such assignment or contracting would be small compared with overall budgets. Thus, unless the amount of such assignment of services is substantial, we do not believe restructuring to a total multitype structure is warranted.

There is no valid reason to believe that all Library System services should be constrained by type of library and geographic boundaries. In fact, economic evidence from the surveys suggests that some service provision should not be limited by such domains. We have found it useful to consider each of the 117 services (currently provided by the Library Systems) independently and decide how each can best be provided. Often, the existing (and recommended) structure defined by type of library and geographic boundaries makes sense. However, some services would be better provided across types of libraries and/or across geographic boundaries, to improve cost effectiveness or the effective utilization of resources.

Library Systems should provide their members with access to the most cost-effective services possible (i.e., the best quality and most timely service for a reasonable cost). Results of the study suggest that the Library Systems should not necessarily provide all the services themselves. Thus, Library Systems and their members should review and evaluate alternative providers (including other Library Systems of the same or different types, vendors, etc.) and contract for services as appropriate. Some services may be funded by Library Systems and some by member libraries. At minimum, basic services (see Section 3.7) should be funded by Library Systems even if these services are arranged by Library

Systems. Section 3 and Appendix C of the report provide data and guidelines for making such decisions.

The survey results also show evidence concerning the minimum volume of activity that justifies service provision by a Library System. There are currently a few Library Systems that are operating with consistently high costs. Some appear to be attributable to lack of economies of scale, although poor management or some other reason may be at fault. Reasons for low cost effectiveness need to be determined and corrected. A few Library Systems may not have a sufficient level of activity to warrant their continued existence.

There are several criteria that we believe are important in determining which structure to recommend as follows:

(1) The optimum service performance (i.e., productivity, quality, timeliness, etc.) should be guaranteed.

(2) Economies of scale should be achieved.

(3) Coordination and cooperation among types of libraries should be enhanced.

(4) The structure must be workable both operationally and politically.

The optimum output performance is generally achieved by having the library-type specific services provided by an appropriate Library System. Economies of scale are accomplished by ensuring that there is sufficient critical mass of service, given the need for services. There are clear benefits to be obtained by libraries sharing their resources, including collections, equipment and systems, staff with special competencies, facilities, etc. In order to receive these benefits, it is essential that coordination and cooperation among libraries (and types of libraries) be enhanced.

The current provision of Library System services in New York State, as library-type specific or as multitype services, is as follows:

(1) Interlibrary loan request processing, verification and location: largely library-type specific because most point-to-point transactions fulfilled are within library type and 97.6 percent of the other requests go to a member library's own primary Library System (e.g., public libraries send requests to their PLS or Central Library) for processing.

(2) Interlibrary loan of materials from Library System headquarters: largely library-type specific because 96.9 percent of requests go to their own primary Library System headquarters.

(3) ILL support mechanisms (union lists/catalogs, retrospective conversion, delivery): multitype mainly because of regional bibliographic database development; however such services also are provided within individual Systems.

(4) Services for providing access to other shared collections (rotating and pool collections and bookmobiles): library-type specific.

(5) Performance of library operational functions (e.g., acquisitions cataloging, physical processing, circulation, public relations, etc.): library-type specific

(6) Reference, referral and research: largely library-type specific because 97.2 percent of requests by member libraries are to their own primary Library Systems.

(7) Consultant services (e.g., children's, outreach, general automation, hospital libraries, etc.): most library-type specific, some multitype.

(8) Continuing education (e.g., workshops, shared professional collections, etc.): most services multitype, some library-type specific.

(9) Grant preparation and administration: largely library-type specific.

(10) Cooperative collection development: library-type specific.

(11) Direct access to member collections (e.g., intrasystem borrowers card, return of books to any library, etc.): mostly library-type specific, some multitype.

(12) Communication (e.g., providing access to electronic bulletin boards, newsletters, etc.): some services multitype, some library-type specific.

(13) Direct services to users (e.g., outreach, books by mail, job information, etc.): library-type specific.

We estimate from the data collected (see Section 3.4 for more details) that the current proportion of total System funding actually spent on multitype provision of services (e.g., RRLRS serving public libraries or school libraries, or PLS serving school or special libraries, etc.) is approximately 2.0 percent; certainly less than five percent with the broadest assumptions taken into account. The extent to which such services are currently being provided by each type of Library System is 0.9 percent of the PLS costs, 10.8 percent of RRLRS costs and 0.3 percent of SLS costs. (See Section 3.4 for an explanation of how these proportions are calculated.)

As a result of this significant focus of effort on library-type specific services and the apparent low level of multitype activity by the Systems we recommend the following System structure in New York State:

Recommendation ST1

There should be three types of Library Systems:

- **Public Library Systems (PLS) serving public libraries**
- **Reference and Research Library Resources Systems (RRLRS) serving academic, research and special libraries**
- **School Library Systems (SLS) serving school libraries**

Recommendation ST2

Libraries should be members of only their own primary type of Library System. Membership in a Library System should be based on minimum requirements set forth by DLD. Member libraries may receive services directly through Library Systems (of any type) to which they do not belong. However, initial arrangements (or contracts) for such services must be coordinated with their primary Library System. A library should not use a service from another library or Library System, if the member library's own primary Library System routinely provides the service.

Recommendation ST3

Laws and regulations governing Library Systems should be flexible enough to recognize and accommodate appropriate service configuration, resources and other differences among Systems.

Recommendation ST4

Library Systems should provide their members with access to the most cost-effective services possible, by either acting as service providers or by arranging or contracting with other providers as appropriate.

In our judgment, lines of communication as well as responsibility and authority for services will be achieved better with three types of Library Systems and with each library belonging only to its own primary Library System type. During the course of the study a number of instances of duplication of service provision (e.g., continuing education courses) were mentioned and discussed. Clearly some services should be provided directly to all libraries. However, by arranging services through the three types of Library Systems, duplication of services can be minimized, publicity can be enhanced, and questions of payment can be resolved (if necessary).

A second problem related to Library System structure is that some participants we talked to either did not recognize the uniqueness of the environment served by Library Systems or felt that others in the State Legislature, DLD and in other regions do not appreciate this fact. New York State represents a microcosm of the United States, in that it has some of the largest, smallest and most diverse libraries. The diversity of libraries and their resources reflect the history of the communities, environments and users served by them. In turn, the character and services of Library Systems have evolved in response to a combination of user information needs and requirements, and the local library resources available to meet them. While there is certainly some commonality of library needs across Systems, there are also some very specific needs resulting from the unique configuration of member libraries and System area infrastructures. It is important that legislators and other funders recognize the strengths of diversity and the ability to accommodate them, rather than viewing them as weaknesses.

4.3 SUMMARY OF FINDINGS CONCERNING INTERSYSTEM RELATIONSHIPS

There is almost unanimous sentiment among Library System participants that there not be a formal umbrella organization in the Regions. While some Library System participants raised the possibility of resurrecting the idea of Regional Multitype Library Organizations (RMLOs) in survey responses, open meetings, and regional hearings, many more objected to this concept. In the Preliminary Findings and Recommendations we recommended having Regional Coordinating Councils which would serve as a means of coordinating cooperative efforts in the Regions. This suggestion was soundly rejected by RRLRS representatives and by many Public Library System and School Library System directors and representatives as well. The overriding and most frequently expressed reason given is a desire to avoid an additional level of bureaucracy and the potential of needlessly syphoning funds away from services. Yet the overwhelming majority of participants recognize the need for cooperation and coordination across Library Systems.

During the course of the study we identified many exemplary instances of cooperation among Library Systems. Each Library System in New York State relates, cooperates or interacts with other Library Systems in some way. The most obvious interrelationship under the current situation is that Public Library Systems and School Library Systems are members of RRLRS. RRLRS and Public Library System representatives sit on the School Library System Boards/Councils. A second type of interrelationship is between each PLS and its Central Library or Co-Central Libraries. Many Central Library directors (and others) expressed problems with the relationship and, particularly governance, between Central Libraries and Public Library Systems. Comments concerning these issues and solutions to them are given in Appendix E.

At a less formal level, Systems cooperate on a wide range of projects and activities including:

- planning, development and implementation of services and programs
- automation projects, either shared systems or provision of dial-access to automated library systems
- interlibrary loan and delivery services, union lists and catalogs
- reciprocal borrowing (direct access) arrangements
- continuing education programs for library staff and trustees
- coordinated collection development and sharing of selection lists and related tools
- consulting and advising on a variety of topics
- printing and publications support
- access to meeting facilities
- preparation of grant applications
- legislative activities
- newsletter exchange
- conservation programs.

In addition to examples of cooperative efforts listed above, all types of Library Systems enter into contractual arrangements with other Systems.

On the other hand there are instances in which cooperation can be improved and/or services provided in a more cost effective manner through cooperative arrangements. Results of the study clearly show that access to many collections, automated systems, facilities, staff with specialized competencies, etc. should not be limited to members of a specific Library System. Thus, it is necessary to develop cooperative arrangements among Library Systems (i.e., among Library Systems of the same type as well as among the three types) to ensure that all libraries can take advantage of all resources potentially available to them.

Even though the total costs related to multitype services provided by Library Systems are low, the volumes of some services are enhanced by intersystem cooperation (e.g., lending of materials point-to-point among all types of libraries is enhanced by cooperative programs). Thus, intersystem cooperation is very important to support the infrastructure for multitype interlibrary lending, interlibrary loan support mechanisms, reference, referral and research services, and other library support (e.g., consulting services, continuing education and grant assistance). Clearly, some mechanism for achieving coordination and cooperation is needed even though not for a large portion of service provision.

The first regulations, based upon the 1984 Law, for Bibliographic Data Base and Interlibrary Resource Sharing called for collaboration by all the System directors within a region to develop and approve a five-year plan for regional bibliographic databases and interlibrary resource sharing. The group of system directors had to together designate an agent (the Designated Agent) to administer the regional program. Under this regulation, the Designated Agent was the RRLRS or a PLS in the region. Note that at the time these early Regulations were written, only pilot School Library Systems were in existence. The five-year plans, annual plans and budgets were prepared by the directors of the participating Systems and had to be approved by the boards of trustees of the participating PLS and RRLRS. When the Law was changed in 1986, the RRLRS in each region became the de facto coordinator and administrator.

Therefore, a mechanism for intersystem cooperation within a region had at one time been established in the Commissioner's Regulations. We believe that such a mechanism should be used for all needed cooperative programs and services including: establishing interlibrary loan request processing protocol; establishing reference, referral and research request processing protocol; interlibrary loan support mechanisms; other library support services that are common among all types of libraries; and reciprocal access among libraries of all types.

SUMMARY OF FINDINGS CONCERNING INTERSYSTEM RELATIONSHIPS (cont.)

In fact, study results show that libraries are currently using the services of Library Systems of which they are not members (see Section 3.4; Tables 3.3, 3.5, and 3.8; and Appendix C). In these tables, the number of member libraries, amount of use and satisfaction with use are displayed by source of service (i.e., Public Library Systems and Central Libraries, RRLRS, School Library Systems, other sources, etc.) for each type of member libraries. In no instances were the services of other types of Library Systems used by libraries with anywhere near the frequency of the use of their own Systems. However, Public Library Systems members use RRLRS and their members for interlibrary borrowing (and SLS to a much lesser degree), union lists (or COM catalog), mail delivery, and direct access to materials. Reference and Research Library Resources Systems members use both PLS (and Central Libraries) and SLS for interlibrary borrowing, delivery services and access to libraries through intersystem borrowers cards. School Library System members use PLS (and Central Libraries) for interlibrary borrowing (and RRLRS to a lesser degree), verification and referral, delivery, continuing education and to gain access to equipment.

We have identified the need for certain services (resource sharing, delivery, continuing education, consulting, and some grant application and administration) to be provided both within each of the three types of Library Systems recommended, and across them at a regional or statewide level. One of the main issues associated with this need and with the recommended structure for Library Systems in New York State relates to how decisions concerning these broader levels of coordination will be arrived at. Such decisions are needed in the following areas:

- Which services should be coordinated across multiple systems, and across which systems?
- Which service providers can offer the service most cost-effectively?
- How will these broader levels of service be funded?
- Who will monitor and evaluate these broader level services?

SUMMARY OF FINDINGS CONCERNING INTERSYSTEM RELATIONSHIPS (cont.)

Intersystem relationships can occur between Library Systems of the same type and of different types. In Appendix E we describe study findings concerning (1) problems perceived by the Systems in these relationships and (2) suggestions made by Library System directors, Central Library directors, member library directors, and others for improving the relationships.

There do appear to be problems with intersystem relationships. These problems were identified through the surveys of Library Systems, Central Libraries and member libraries. Many of the problems stated in responses to the questionnaire were much more forcefully expressed in the personal interviews conducted at Library System headquarters. Overall, 54 percent of the Library System directors indicated in the survey that they had experienced problems in this area. The proportions of each type of System that indicated problems were:

• Public Library Systems	48%
• RRLRS	78%
• School Library Systems	52%

Below we discuss the types of problems indicated by each type of Library System.

4.4 COOPERATION AMONG LIBRARY SYSTEMS AND LIBRARIES

There is an important need for libraries of all types to be served by Library Systems. We have recommended that this need be satisfied by having Public Library Systems serve public libraries; RRLRS serve academic, research and special libraries; and School Library Systems serve school libraries. This structure alone does not provide a mechanism for needed cooperation among Library Systems and libraries. However, in addition to the problems mentioned above and enumerated in Appendix E, we believe that there are three basic problems with this arrangement:

- The RRLRS Boards are basically made up of some academic, research and special library directors, other Library System directors and at least two members of the research community (with the exception of one RRLRS). This broad structure does not fully meet the needs of cooperation among Library Systems and libraries because SLS are not always represented and public libraries and school libraries are not represented directly on these Boards. The Board structures could change to include these participants in cooperation, but this would weaken the ability of RRLRS to serve the equally important service needs of academic, research and special libraries. We believe that Library System Boards must take a strong role in Library System operations and services (see Section 5) and this can be better achieved if the Boards are not diluted in order to achieve cooperation.

- The RRLRS Board members are unfairly placed in a conflict of interest position for some decisions concerning distribution of funds or services among Library Systems and/or libraries. Examples of such decision areas include distribution of automation funds, member fees, charges for services, determination of continuing education programs, etc.

- There is no particular reason that RRLRS should be the Library System in a region which administers the coordination and cooperative activities. It is clear that RRLRS have contributed substantially to the power of interlibrary lending in regions by encouraging private (and State) academic, research and special libraries to participate and that public and school libraries benefit by this. However, with some other cooperative programs, some PLS and SLS and their members have expressed dissatisfaction with RRLRS. While on balance they have done very well in enhancing cooperation in their regions, we believe that there should be an alternative to mandating RRLRS for this role.

There are several services which require cooperation among different types of Library Systems and types of libraries such as:

- Interlibrary lending to establish protocols, ILL codes, reimbursement policies, etc.

- Reference, referral and research to establish protocols, codes, reimbursement policies, etc.

- Union list/catalog development

- Delivery

- Cooperative collection development

- Cooperative competency development (i.e., determination of what expertise and knowledge is needed and where it should reside)
- Annual continuing education programs
- Resource sharing of computers, communication, database development, etc.
- Grant preparation

It is clear that interlibrary and inter-Library System cooperation will become increasingly important because of new technology, the need to serve a changing society in New York State, and economic restraints that are likely to prevail over the next decade.

In view of the need for cooperation among Systems, the problems identified and the structure recommended earlier, we make the following recommendation for intersystem relationships:

Recommendation ST5

Coordination of services and cooperation among types of Library Systems and their members should take place through Intersystem Cooperative Networks (ICONs) consisting of representatives of member libraries and Library Systems from each of the three types of Library Systems in each region. The ICONs should elect a Coordinating Agent every three years. The Coodinating Agent will be responsible for coordinating the development of a three-year cooperative service plan and administering cooperative programs and services.

There are a number of detailed issues concerning ICONs that need to be resolved. We believe that these issues should have specifics resolved within each of the nine regions within the following guidelines.

Participants

ICON representatives should include both Library System directors and member library directors. The number of formal participants could vary by region. We suggest, however, that there be an equal number from each type of library system (say 3) and that at least three representatives be member library directors from each of the three types of Systems.

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Elections

There should be three elections. The first election is to determine the structure of representation in each region. The second election is to determine the representation for each group. All RRLRS directors will automatically be participants and most PLS directors will be. Thus, it will be necessary for PLS and SLS directors and groups of member libraries to elect their appropriate number of representatives. This election should be annual with it possible for an elected representative to be re-elected for no more than a specified number of terms. The third type of election and voting is among the representatives. They should elect a Coordinating Agent (i.e., Library System) that will be responsible for administering cooperative programs, development of required three-year plans for cooperation, establishing coordinating committees, etc. The term of the Coordinating Agent should be three years. The Library System director of the Coordinating Agent should chair formal ICON meetings. All voting should be weighted such that the total votes from representatives from each type of Library System will be equal (i.e., PLS equals RRLRS equals SLS equals public libraries equals academic, research and special libraries equals school libraries).

Coordinating Agents

There should be a Coordinating Agent for each of the nine regions with responsibilities stated above. Being a Coordinating Agent is like any other service provided by a Library System and should be treated as such by Library System directors, staff and Boards.

Coordinated Services

There may be services (e.g., delivery) in a region that involve more than one type of member library. The ICON should determine or designate the Library System or other organization that will furnish the service. The Coordinating Agent should be responsible for implementing the plan developed by the ICON. The Coordinating Agent may also be designated by the ICON plan to provide certain services, but not necessarily so. They may also be given responsibility for preparing LSCA grant proposals and administering services or overseeing services on behalf of the ICON.

Funding

Each Coordinating Agent should be provided an annual lump sum (we suggest $25,000) for serving as the coordinating agent in regions. Such a fund may be used at the discretion of the Coordinating Agent for such activities as administration, secretarial support, correspondence, travel, etc. Specific coordination programs or cooperative services should be made a part of three-year plans and funded at requested and approved costs.

Role of DLD

DLD should provide an annual lump sum funding for the Coordinating Agents. DLD should also review three-year plans and approve funding for initiatives involving new programs and services, new cooperative arrangements among Library Systems (e.g., a service for three SLS being performed by one, etc.), arrangements for service protocols, fees, etc., and contractual arrangements with non-Library System organizations.

We believe that ICONs serve as a mechanism that meets badly needed cooperation in regions, does not require a new administrative structure, and does not result in a super-system.

A periodic determination of the Coordinating Agent will provide incentives for Coordinating Agents to strive for continued satisfactory levels of cooperation and coordination. The Coordinating Agents are Library Systems. The Boards of the Coordinating Agents must formally accept responsibility for being Coordinating Agents and they should oversee this activity in the same manner as they would any other service provided by the Library System.

One restriction we suggest is that formal voting (e.g., to elect a Coordinating Agent, determine how a service should be provided, etc.) be weighted so that each of the three types of Library Systems and each of the three types of member libraries be given equal weight. For example, if there are the following number of representatives in ICON:

PLS directors	2
RRLRS directors	1
SLS directors	2
PLS member library directors	2
RRLRS member library directors	3
SLS member library directors	4

their votes would be given the following weights:

	Representatives	Weight	Total
PLS directors	2	1-1/2	3
RRLRS directors	1	3	3
SLS directors	2	1-1/2	3
PLS member library directors	2	1-1/2	3
RRLRS member library directors	3	1	3
SLS member library directors	4	3/4	3

Thus, each type of representative and each type of System is given equal vote (3 and 9, respectively).

With ICONs in place there are several types of activities that should be considered. In particular, we recommend the following:

Recommendation ST6

Union list production should be done by an organization(s) determined by the Intersystem Cooperative Network (ICON).

Recommendation ST7

A region-wide referral service listing should be prepared by an organization determined by the Intersystem Cooperative Network (ICON).

Other potential services to be reviewed by ICONs should include consulting services, continuing education workshops, grant support services, and so on.

SECTION 5
GOVERNANCE OF LIBRARY SYSTEMS

5.1 BACKGROUND CONCERNING GOVERNANCE OF LIBRARY SYSTEMS

In this section we treat several aspects of governance of Library Systems: Library System membership, Library System Boards, SLS relationship with BOCES and Big City School Districts, PLS and Central Library Relationships, and Intersystem and Interlibrary Cooperation. Library System and Central Library directors were asked in the formal surveys whether or not they considered that their current governance structure poses any problems in terms of their ability to provide needed services, and in terms of their ability to develop the Systems' functions. They were also asked to suggest ways in which the existing governance could be improved and alternative structures might replace existing ones. Member library directors were asked about (1) their degree of participation in governance (i.e., if they were represented within the System's governance structure, whether they voted on System issues, and other ways in which they participated), (2) whether or not their library's interests were adequately represented through their System's governing body, and (3) whether or not the governance structure of their System poses any problems. Most of these problems are described below even though we have judged some of them not significant enough to warrant recommendations or changes in governance. We present them so that every reader knows the breadth of problems perceived by the library community in New York State.

There do appear to be problems with the current governance structures of Library Systems in New York State. Overall, 53 percent of the Library System directors indicated that there were problems with governance and the Systems' abilities to provide needed services. The proportions of each type of System in which such governance problems are indicated are as follows:

BACKGROUND CONCERNING GOVERNANCE OF LIBRARY SYSTEMS (cont.)

Public Library Systems	48%
RRLRS	44%
School Library Systems	57%

Also, 73 percent of responding Central Library directors either explicitly said that their Library System's governance structure poses problems in terms of their ability to provide needed services (47%) or implicitly indicated problems (26%) in governance structure.

A similar proportion, 51 percent overall, of Library System directors indicated governance problems in terms of the Systems' abilities to develop their functions. The proportions of each type of system indicating these types of governance problems are:

Public Library Systems	43%
RRLRS	78%
School Library Systems	50%

Many member library directors also expressed concern about Library System Boards/Councils. About one-fifth (22%) of the member library directors indicated that their interests are not adequately represented through the governing body of their Library System. The breakdown of those expressing concerns are:

Public Library Systems members	33%
RRLRS members	20%
School Library Systems members	10%

A higher proportion (27%) of member library directors indicated that governance structure poses a problem:

Public Library Systems members	34%
RRLRS members	20%
School Library Systems members	22%

Furthermore, governance was thoroughly discussed and relevant suggestions were made during open meetings and regional hearings and through written statements to King Research. The specific types of governance problems encountered or perceived by those communicated with in one form or another are described in Appendix E.

5.2 LIBRARY SYSTEM MEMBERSHIP

5.2.1 Public Library Systems

The membership in PLS is limited to public libraries chartered by the Regents. At present, only three of the 737 chartered public libraries in New York State are not members of Public Library Systems. Note, though, that three of the 734 public libraries are also Consolidated Systems (the New York Public Library, Queens Borough Public Library, and Brooklyn Public Library).

Nearly all of the services provided by PLS are provided to member public libraries. A few services are also provided to other types of libraries (based on responses from the member library survey). The services that are provided to other types of libraries are:

- interlibrary loan request processing
- bibliographic verification and/or location of potential lending libraries
- actual fulfillment of ILL requests
- union list/catalog production
- in-system courier
- manual searching or printed publications for reference or referral
- online bibliographic searching for reference or referral
- other online database searching for reference or referral
- direct access to any member library in system
- intersystem borrower's card.

We estimate that the PLS expend 99.1 percent of their costs in direct service provision to member public libraries, with the remaining 0.9 percent of their costs involving service provision to other types of libraries (see Section 3.4.1 and Table 3.3 for an explanation of how these estimates are derived).

5.2.2 Reference and Research Library Resources Systems

The membership criteria for RRLRS are more complicated than those of the other two types of Systems studied. They are specified in Education Law as follows. Membership in an RRLRS shall include:

> "1. at least four chartered degree-granting institutions of higher education of the four-year level whose libraries meet departmental standards.
>
> 2. either at least one chartered degree-granting institution of higher education offering graduate programs for a master's degree whose library holds not less than two hundred and seventy-five thousand volumes and currently receives not less than three thousand periodical titles, or a public library which holds not less than four hundred thousand adult volumes and currently receives not less than one thousand five hundred periodical titles.
>
> 3. may also include approved Public Library Systems which are within the region served by the RRLRS."

Note that the membership criteria do not specify School Library System membership, although the Regulations relating to School Library Systems do require each School Library System to specify the RRLRS to which it will apply for membership.

A certain amount of flexibility is granted to the RRLRS in that they may set their own minimum standards for membership, provided that they are consistent with the Commissioner's Regulations and that:

"1. any chartered institution of higher education whose library meets the departmental standard shall be eligible for membership.

2. any chartered institution of higher education whose library does not meet the departmental standards may not be eligible for membership unless it submits to the department a five-year plan for the realization of the standards, the plan bearing the signed approval of the head librarian, the president, and the academic dean of the institution.

3. any hospital whose library meets the standards established by the regents shall be eligible for membership.

4. any hospital whose library does not meet the standards established by the regents will not be eligible for membership unless it submits to the commissioner a five-year plan for the realization of the standards, such plan bearing the signed approval of the head of the governing board of such hospital.

5. the membership institutions of each reference and research library resources system be broadly representative of the chartered educational agencies, non-profit organizations, hospitals and other special libraries providing library service within the defined area of services of the system."

The Commissioner's Regulations require the following additional membership criteria:

"1. that each new member of an RRLRS will improve the library resources presently available to the research community in the area of the system and/or will bring improved reference and research services to the users of such new member.

2. that each RRLRS shall include all Public Library Systems which provide service within the area served by the System and which have applied for membership.

3. that each RRLRS may also include public, free association and Indian libraries, libraries of educational agencies, libraries of non-profit organizations, and other special libraries that provide service within the area served by the system, provided they meet the criteria for membership as contained in an amendment to the system plan of service approved by the commissioner . . . except that no public, free association or Indian library which is not a member of a Public Library System shall be eligible for membership in an RRLRS."

There has been a growing controversy in the State over memberships in RRLRS. This controversy centers around the eligibility of individual public and school libraries as members of RRLRS. A review of the Laws and Regulations does indicate areas that require clarification. Before discussing these points, however, it should be pointed out that neither of the authors of this report is qualified to make legal interpretations; instead we point out, from a lay person's viewpoint, where and how misinterpretations may occur.

First, each RRLRS must include either at least one chartered degree-granting institution of higher education offering graduate programs for a master's degree and whose library meets the minimum requirements specified above, or a public library which meets the minimum requirements listed above. This means that an individual public library with 400,000 adult non-fiction volumes can be a member of an RRLRS for the RRLRS to meet the minimum requirements for establishment if there is no qualifying academic institution in the service area.

Second, the Commissioner's Regulations indicate that public libraries (and free association and Indian libraries) may be members of RRLRS provided that they meet the criteria for membership as set out in the Regulations. These criteria are twofold: a library must either improve the library resources presently available to the research community or it must bring improved reference and research services to its users through membership in the RRLRS.

The interpretation of these Regulations by DLD has been that since public libraries' collections are open the public for on-site use and circulating materials are available through interlibrary loan, they would not improve the library resources presently available to the research community. The DLD interpretation continues by indicating that individual public library users have access to improved reference and research services through the Public Library Systems' memberships in RRLRS.

This issue of individual public library and school library membership of RRLRS has been the subject of considerable correspondence between several systems, directors associations, etc., and DLD. The argument made by several individual library directors and by PLS directors, as well as RRLRS directors, is that some services available to individual members of RRLRS and their users are "better" than the service level available through their memberships in RRLRS via Public (or School) Library Systems. This argument raises a fundamental question. Are services provided by RRLRS provided equally to all RRLRS members and their constituent parts? For example, are services provided to each individual library of an educational institution also provided to each public and school library represented by their respective Public and School Library Systems? From some of the correspondence on this issue, it would appear that service provision is not equal. This does raise a second, related question of why not? Presumably, the whole purpose of Public and School Library System membership in RRLRS is to extend RRLRS membership privileges to their constituents (i.e., the individual public and school libraries) and vice versa.

It is important to note that the Law does not require PLS or SLS to be members of RRLRS systems. It does require RRLRS to accept as members all the PLS in their respective service areas that have applied for membership. The regulation regarding the membership of individual libraries in RRLRS, provided they meet the criteria of improving resources or improved services to their users, appears to come into play only if the individual public or school libraries are members of their respective Public and School Library Systems, which in turn are **not** members of their respective RRLRS.

In summary, again stressing that this is more of a literal rather than a legal interpretation of the Law and Regulations regarding individual public and school library membership in RRLRS, it would appear that:

- the Law does not define membership of RRLRS as including individual public or school libraries unless an individual public library that meets the minimum size requirement is needed so that the RRLRS can be established.
- the Law does specify that Public Library Systems may be members of the RRLRS in whose service areas they reside.
- the Commissioner's Regulations require that any Public Library System that applies for membership in a RRLRS must be granted membership.
- the Commissioner's Regulations require all SLS to apply for membership in RRLRS.
- the Commissioner's Regulations state that individual public and school libraries (and special libraries) may be eligible for membership in a RRLRS provided that they are members of their respective Public and School Library Systems; and that they improve the library resources presently available to the research community and/or they will bring improved reference and research services to their users.

There are several problems which have resulted from the entire question of individual public and school library memberships in RRLRS. First is the fact that several public libraries joined RRLRS prior to the effective date of the 1980 Regulations. Many, if not all, of these libraries have retained their memberships in RRLRS. Second is the fact that applications for at least one RRLRS for adding individual public and school libraries as members were held for approximately three years by DLD before the applications were denied. This period of delay is clearly a contributing factor to the intensity of the controversy that has ensued. In Section 7 on Measurement, we address the need for improved responsiveness on the part of DLD to System requests, proposals and applications. Finally, we believe an underlying cause of the controversy referred to above may be the interpretation of the membership of Public and School Library Systems. We believe that the intent of such membership was to extend full membership privileges to all of their constituent members, in the same way that membership of an educational institution affords privileges to its constituent libraries.

LIBRARY SYSTEM MEMBERSHIP: RRLRS (con't.)

We find, based on the member library survey, that RRLRS provide approximately half of the number of their services to academic, research and special libraries exclusively. The services they provide **only** to or for academic, research and special libraries are:

- collection development
- acquisitions and ordering
- cooperative purchasing
- physical processing
- public relations print materials
- public relations newspaper articles
- manual searching of printed publications for reference or referral
- other (non-bibliographic) online database searching for reference or referral
- consultant services
- grant preparation
- cooperative collection development.

The services provided to other types of libraries in addition to the academic, research, and special libraries are:

- interlibrary loan request processing
- bibliographic verification and/or location of potential lending libraries
- actual fulfillment of ILL requests from various collections the RRLRS have developed, e.g., film or professional collections
- union list/catalog production
- in-system courier
- catalog production
- online bibliographic searching for reference or referral

- continuing education
- direct access to any member library in system
- intrasystem borrower's card
- intersystem borrower's card.

Note that not all RRLRS provide all the services.

We estimate that the RRLRS expend 89.2 percent of their costs in direct service provision to academic, research and special member libraries. They expend 10.3 percent of their costs in service provision to other types of libraries. (See Section 3.4.2 for an explanation of these estimates.)

5.2.3 School Library Systems

The membership of a School Library System is defined in the Law as "a school district or nonpublic school in the area served by the BOCES and/or city school district establishing the System." The Commissioner's Regulations specify the criteria for membership, such that:

> "1. All school districts and nonpublic schools located within a BOCES supervisory district which has established a School Library System shall be eligible for membership in that System, provided that each member designate a certified school librarian as the liaison to the School Library System.
>
> 2. In the city school district of the City of New York, each community school district and borough assistant superintendent for high schools, and the division of special education shall designate a licensed teacher of library as communications coordinator to assist in liaison between the school district staff and the libraries in the district. Within the School Library Systems established by the city school districts of Buffalo, Rochester, Syracuse and Yonkers, a certified school librarian shall be designated as liaison to the School Library Systems from each zone, representative area or other internal subdivision of the city school district used for school organization. Nonpublic school members shall designate a representative to serve as liaison between nonpublic school members and the School Library System.

3. Each member of a School Library System shall permit the interlibrary loan of books and other library materials to other members of the School Library System or members of other Systems with which the School Library System has reciprocal arrangements, except for materials not otherwise loaned by such member."

It is important to note the distinction between a School Library System **member** and a School Library System **participant.** A member is a School District or non-public school. A participant is a school library in a member School District. However, during the remainder of this document we refer to participants as member libraries of School Library Systems.

School Library Systems provide all but a few of their services only to member libraries. Based on member library responses, the services they provide to other types of libraries in addition to school libraries are:

- interlibrary loan request processing
- actual fulfillment of ILL requests
- direct access to any member library in system
- intersystem borrower's card.

The School Library Systems expend 99.7 percent of their costs in provision of services to school libraries, and 0.3 percent of their costs in provision of services to other libraries. (See Section 3.4.3 for an explanation of these estimates.)

5.3 FINDINGS CONCERNING LIBRARY SYSTEM BOARDS

Each type of Library System at present has a different governance structure, and there are some differences in structure among systems of the same type. Public Library Systems are governed by a board of trustees usually made up of the trustees of member public libraries. The RRLRS have boards which are made up of some member library directors and Library Systems directors, and at least two members of the research community although one System has a lay board. They also use Committees in an advisory capacity. School Library Systems fall under the overall governance of their respective BOCES or Big City School Districts and also have a Council which includes some member school library directors and others, a representative of the local Public Library System, and of the local Reference Research Library Resources System.

We observed that there is a great deal of dissatisfaction with the make-up of Library System boards or councils. In particular, many feel that there needs to be more direct accountability of PLS directors to member libraries. We believe that member libraries should know that PLS is their system and have a strong voice in its service provision. On the other hand, most RRLRS boards consist of directors from member libraries and Library Systems. Some directors of Library Systems feel that their membership in RRLRS boards presents a conflict of interest because they are required to represent the interests of their member libraries as well as interests of the RRLRS constitutents.

We have made a point that Library Systems must remain flexible in their service provision because of regional differences in information needs and requirements, historical evolution, etc. However, if Library Systems are to exercise flexibility (i.e., to have less central control), there must be strong accountability at the local level in addition to the State. In our view this places extremely strong emphasis and responsibility on Library System Boards. The Boards must be able to ensure that Library Systems are operating efficiently and providing cost-effective services which meet the needs of member libraries. Not all Library Systems are currently achieving efficiency and cost-effectiveness. Evidence from the study suggests that average costs are too high for:

- 2 of 16 PLS*
- 2 of 8 RRLRS*
- 6 of 39 SLS*

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* Not all Library Systems reported both costs and output quantities.

Average satisfaction ratings are too low for:

- 4 of 21 PLS
- 1 of 9 RRLRS
- 5 of 43 SLS* (for which satisfaction ratings were received.)

When we began the study we stated to the Advisory Committee that we should not attempt to evaluate individual Library Systems. For this reason we cannot specify which Library Systems appear to have problems. However, we strongly suggest that each Library System Board (or Council) review the questionnaire responses provided to us by their respective Library System to compare average costs per service against the Statewide medians and quartiles to make sure that their services are cost-effective. (See Section 2.2 for an explanation.) Boards (or Councils) should recognize that not all Library Systems provided cost data to King Research. Library Systems that did not provide both cost and quantity data could provide these data now to their Boards.

Recommendation G1

Member library directors should be allowed to serve on Library System Boards. Boards should also include lay persons. Persons with special expertise such as finance, law, etc. should be sought to serve in addition to member library directors, patrons, and library trustees.

Recommendation G2

Members of Library System Boards/Councils should be trained to understand economic issues and statistical methods concerning Library System operations and services.

Recommendation G3

The Library System director should be an ex-officio (non-voting) member of the Board or Council.

Recommendation G4

Each Library System should have a Directors' Advisory Council which includes the directors of each member library.

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* Three SLS were not represented by samples of member libraries due to non-response coupled with sparse sampling for individual SLS.

5.4 SCHOOL LIBRARY SYSTEM RELATIONSHIP WITH BOCES AND BIG CITY SCHOOL DISTRICTS

School Library Systems report to their BOCES or Big City School Districts, the State Education Department, Bureau of School Library Media Programs and Division of Library Development, as well as to their Council. The relationship with BOCES and Big City School Districts is found to have advantages as well as disadvantages. Some relationships are working very well. In most instances valuable services are provided by BOCES such as delivery, reproduction and printing, facilities and so on. On the other hand, the position of SLS in BOCES leaves staff very vulnerable (e.g., to establishment of salaries, getting poor services, etc.), and it places them in a subordinate role. In many settings, SLS and school libraries are treated as second-class citizens. There is a strong evidence that there is little understanding of the importance of school libraries in supporting curricula and the role of school libraries have in life-long learning. However, availability and use of new services have begun to demonstrate to administrators, faculty and students that school libraries play an important role in education. Furthermore, the information seeking behavior of both students and faculty were reported to us to be changing significantly.

The SLS should report to their Councils in much the same manner that PLS and RRLRS report to their Boards, thus empowering SLS Councils to act as Boards. This helps accountability of SLS to their member libraries.

Recommendation G5

SLS should remain within BOCES and Big City School Districts. The Law should specify that there is a special relationship between SLS and BOCES.

Recommendation G6

DLD, Bureau of School Library Media Programs (BSLMP) and SLS should provide guidance to BOCES and Big City School District administrators and boards to develop a clearer understanding of the BOCES and SLS relationship and the role of SLS in the education process.

Much of the problem with SLS and BOCES (or Big City School Districts) revolves around budgets. Currently, 5 percent of budgets are passed on to BOCES, although not in all instances.

Recommendation G7

SLS should be given fiscal responsibility for their budgets. SLS funds should be dedicated for school library services.

Recommendation G8

SLS staff should not be required to do BOCES related work except under contract to be approved by DLD.

5.5 CENTRAL LIBRARY RELATIONSHIP WITH PUBLIC LIBRARY SYSTEMS

The interviews, open meetings and surveys all highlighted the need to clarify the role of Central Libraries and their relationship with Public Library Systems. We believe that interlibrary loan request processing and reference, referral and research services should be the responsibility of Public Library Systems. However, in many instances economies of scale can best be achieved for these services if they are provided by Central Libraries. If the service(s) are provided by Central Libraries they should be done so under formal arrangement with the PLS. As such, the Central Library directors are responsible, under the arrangement, to the PLS as one would be under contract or grant.

Recommendation G9

Interlibrary loan request processing and reference, referral and research services provided to public libraries and their patrons should be the responsibility of Public Library Systems. PLS should arrange with Central Libraries to provide these services, if cost effective to do so. Central Library directors should report to PLS directors regarding provision of these services.

5.6 GOVERNANCE OF INTERSYSTEM AND INTERLIBRARY COOPERATION

We have stressed the desirability and necessity of cooperation among different types of libraries and Library Systems. Currently such cooperation is being done to some extent through RRLRS and their Boards and committees. The RRLRS Boards consist of academic library directors, special library directors, Public Library System directors and lay members. There is often no direct representation of SLS directors. Public libraries and school libraries are generally not served directly by RRLRS because of the restrictions on RRLRS membership (see Section 3). The current governance structure of RRLRS reflects their emphasis on services to academic, research and special libraries, and some coordination with PLS. We believe that intersystem relationships and cooperation will be an important factor in the future development of library and Library System services in the State. In Section 4, we recommend that cooperative, multitype library services and programs be coordinated through Intersystem Cooperative Networks (ICON), made up of representatives from each of the three types of Library Systems in each region (Recommendation ST5). We further recommend that a Coordinating Agent (Library System) be elected by ICON representatives.

We have recommended that the Intersystem Cooperative Network (ICON) consist of three representatives from each of the three types of Library System. We suggest that there be representation of at least two Library System directors from PLS and SLS. This means that not all SLS will be represented. However, an equitable rotation scheme can be devised (e.g., one SLS rotate out each year from a predetermined schedule). We also recommend that each PLS have at least one representative. RRLRS should be represented by the director and two other persons to be elected each year by the RRLRS Board.

Recommendation G10

Representation in Intersystem Cooperative Networks (ICON) should consist of at least one Library System director and one member library director from each type of Library System.

There has been considerable opposition to any alternative cooperation mechanism to RRLRS, particularly from RRLRS member library directors. Some RRLRS member library representatives have testified at hearings, written to us or said, in effect that our recommendations concerning coordination and cooperation among the various types of libraries will result in a dismantling of RRLRS, and destroy 20 years of cooperation in the State. Furthermore, if the recommendations are adopted, some have suggested that large RRLRS member libraries will elect not to provide interlibrary loan or other services to public and school libraries. Still, it is our belief that coordination and cooperation among many types of libraries can be best achieved through direct representation from all types of libraries.

SECTION 6
LIBRARY SYSTEM FUNDING

6.1 BACKGROUND CONCERNING LIBRARY SYSTEM FUNDING

The three types of Library Systems are funded independently as defined in Chapter 37 of the Law of 1986. Chapter 37 provides for a series of funding formulas for each of the three System types. Not all of the funds are covered by the Library System study. Not covered by the study are grants to the Brooklyn and The New York Public Libraries, and special programs such as Indian Libraries, New York Academy of Medicine Contract, etc. Altogether, funding for the programs and grants covered by the study amounts to about $55 million. For those that are included, we discuss the implications of the funding and of how the funds are applied. We also look at funding formulas in terms of their appropriateness for achieving the implicit and explicit objectives of the Law.

The overall amounts of funding for the three types of Library Systems (based on current law factors) are as shown in Table 6.1.

In addition, the PLS report in the Annual Report to DLD (1987) that they receive an additional $1.7 funds from the Federal government and they receive revenue from other sources as well. Similarly, RRLRS report that they receive $2.5 million from Federal aid, contracts, membership fees, etc. Funds obtained by Library Systems from the Federal government (primarily under the Library Services and Construction Act Titles I, II and III) are largely distributed by the Division of Library Development. Some Library System programs are largely dependent on these LSCA funds.

The amount of funds actually used by PLS for operations and services is about $36.7 million (i.e., State Aid, LLIA, automation grants, outreach) plus some additional funds. Comparable RRLRS funds used for operations and services is $4.3 million (i.e., State Aid, and $1.3 million for hospital libraries - see Table 6.15) plus their operational share of regional database funds and other sources of funds ($1.5 million). School Library Systems receive about $5.0 million

We have estimated how the Library Systems have actually applied their funds to services by the amounts of costs reported on the Library System survey. Estimates of total costs are $35.3 million for Public Library Systems, $5.3 million for RRLRS and $5.5 million for School Library Systems. Details of estimated Library System costs are presented in Table 6.12. These estimates are reasonably close to the amounts of funds operationally controlled by Library Systems.

There are a number of funding issues expressed to us by Library System directors, Board members, member library directors and others and that were identified by us in this study. One of the key issues brought up by PLS directors is that there is a concern over too much emphasis on categorical funding, resulting in a gradual erosion of funding of basic Library System services (technical processing, interlibrary loan and reference). A second major issue is that Library Systems are unable to plan effectively because increases in funding are erratic and not annualized with regard to cost of living increases. Finally, the current funding formulas include factors relating to service area population, geographic service area, and a basic minimum amount. The factors do not reflect the true cost of services. There is no account taken in funding formulas (except for services to hospital libraries) of the number of members (i.e., districts) served, although SLS funding is dependent on number of school districts served. Nor are there factors built into formulas which yield incentives for more or better services. The issue concerning funding formulas is discussed further in Section 6.8.

6.2 SUMMARY OF FINDINGS CONCERNING FUNDING

6.2.1 Cost Effective Mechanisms for Providing Services

Study results show that the funding of Library Systems has generally not been adequate to provide all necessary services. In the services section (Section 3) and Appendix C we show that, with few exceptions, not all Library Systems are providing all of the possible services, and Library Systems that provide a specific service are not

Table 6.1

AMOUNT OF LIBRARY SYSTEM FUNDING BY TYPE OF LIBRARY SYSTEM AND TYPE OF FUNDING IN NEW YORK STATE: 1988/89

Type of LS/Type of Funding	Funding ($)
Public Library Systems (PLS)	
State Aid to Public Library Systems (including annual grant, per capita amount, book reimbursement, square miles amount, and due minimum)	$29,238,799
Local Library Incentive Aid (System)	3,357,234
Automation grants	1,420,000
Coordinated outreach	2,679,807
Local Library Incentive Aid (local libraries)	4,335,648
Central Library (CLDA and CBA)	6,308,967
Indian Libraries	280,756
Interinstitutional	175,000
State-operated Correctional Institutions	370,000
Total (1)	$48,166,211
Reference and Research Library Resources Systems (RRLRS)	
State Aid to RRLRS	$3,002,389
Coordinated collection development	1,399,811
Medical/Hospital	1,726,000
Regional database	1,625,000
Total	$7,753,200
School Library Systems (SLS)	
State Aid to SLS	$5,044,209
TOTAL ALL LIBRARY SYSTEMS	$60,963,620

SOURCE: Division of Library Development

(1) Total includes some items ($4,791,404) that are not used for direct Public Library System operations or services (see, for example, Table 6.13). Total does not include funds for grants to The New York Public Library, Brooklyn Public Library, Buffalo and Erie County Library and Nassau PLS. It does not include support to the Schomburg Center for Research in Black Culture.

providing it to all of their member libraries. For example, online bibliographic reference searching is provided by all three types of Library Systems (and some Central Libraries), yet:

- Only 12 of 21 PLS, 5 of 9 RRLRS and 34 (with 3 planned) of 46 SLS report that they provide this service.
- Of those Library Systems that provide the service, it is estimated that only 24 percent of their member libraries use the service (i.e., only 16% of all member libraries).

Of course, not all member libraries need this service. However, based on data from King Research studies performed elsewhere, we would expect a larger number of member libraries to use this service. This statement holds for a number of Library System services. It is clear that Library Systems have made choices of which services to provide and to which member libraries because of limited budgets. Also, some Library Systems have correctly examined the possibility of using vendors or other Library Systems to provide services less expensively to their member libraries. However, because of the possibility of a general tightening of the budgets of all public services at the State level, Library Systems should be prepared to make even more difficult choices concerning which services to provide, at what level, and by what means. It may be necessary to reallocate their resources among services.

Recommendation F1

Library Systems should continually explore the most cost effective mechanisms to provide services themselves or through other means.

6.2.2 School Library System Funding

It is difficult to determine exactly how much additional funding would be required to provide all of the services that are necessary in the State. However, in our judgment we feel that SLS are the most underfunded type of Library System (since they could perform library operational functions for school libraries with potentially substantial savings) and this problem is straightforward to remedy. The PLS appear to be the next most underfunded and RRLRS least underfunded. It would be relatively simple to determine the costs of current operational functions in school libraries and then establish the savings that might be achieved by centralizing these functions in SLS. Having the SLS in BOCES may facilitate these services since one of the objectives of BOCES as we understand it is to achieve economies of scale through cooperatively purchased materials and shared services. Since we did not obtain data on the extent of school library technical processing we cannot determine how much can be saved by centralizing operational functions. Thus, some study should be initiated to determine this.

Recommendation F2

The DLD and BSLMP should determine which school library functions can be performed less expensively by (or through) SLS. This should be done with a pilot test of one or more SLS. Furthermore, SLS should actively promote these services and seek ways of providing them through State Aid funds.

6.2.3 Distributing Funds in a Timely Manner

Funding of Library Systems comes from four sources: State allocation, Federal LCSA funding, local funding and, to a lesser degree, other sources. PLS are on a January to December fiscal year; SLS are on a July to June fiscal year. The RRLRS earn State Aid on a calendar year basis, but operate and report to DLD on a fiscal year (July 1 - June 30). All three types of Library Systems receive two payments per year. However, the "cash flow" varies significantly. PLS often must rely on a Reserve Fund to operate during part of the year. Receipt of funds is dependent on submitting required budgets and/or reports. Local Library Incentive Aid (LLIA) is also made in two payments. Federal funds for library services in New York State are processed by DLD through grants to Library Systems for special projects. LSCA Title I and Title II are designated by Federal guidelines for public libraries. LSCA Title III funds are designated for multitype library services. Federal regulations require that Title III funds involve cooperation of at least two types of libraries.

Recommendation F3

All State and Federal funds should be made available to the Systems in a timely manner; no System should have to secure a loan to cover payroll and other expenses.

Recommendation F4

Basic Library System services (i.e., ILL and reference request processing, services in which economies of scale are clearly achieved, and services which cannot be done by member libraries) should have inflation factors built into budgets.

6.2.4 Categorical Funding

There are a number of issues related to funding that were identified in this study. One of the key concerns in the field is the emphasis on categorical funding. System directors claim this has resulted in a gradual erosion of basic Library System services (e.g., technical processing, interlibrary loan and reference).

Recommendation F5

Categorical funding should continue to be made available for special programs designed to fill service gaps identified by the Library Systems or the State. However, such funds should not substitute for or de-emphasize funds received for basic services.

6.2.5 Funding Formulas

The current funding formulas include factors relating to service area population, geographic service area, and a basic (or due) minimum amount. The funding factors do not necessarily reflect the true cost of services. There is no account taken of the number of members served or size of member libraries served. Nor are there factors built into formulas which yield incentives for more or better services.

Library System services can be grouped by whether the costs are likely to be affected by population served, area served and number of members served. Suggested groups of services are as follows:

- Size of population to affect amount and, therefore, cost of interlibrary lending and borrowing; retrospective conversion; pool collections; circulation control, acquisitions, cooperative purchasing, cataloging, catalog production, physical processing, materials examination; reference, referral and research; and direct services to users.

- Amount of geographic area to affect services for delivery, bookmobiles, and communication.

- Number of members to affect union list production, rotating collections, collection development, conservation/preservation, recordkeeping, public relations, consulting, continuing education, and grant support, cooperative collection development, direct access to members and member library participation.

- Density to affect operational support for libraries and other operational support.

- Size of libraries served to affect operational support for libraries and other library support.

The four funding factors that appear most relevant to all three types of Library Systems are population served (i.e., citizens, students, faculty, professionals, etc.), geographic area served, number of member libraries served, and size of member libraries. However, current funding formulas (using population and area) do not adequately represent the actual costs of services affected by these factors and do not represent the costs associated with number of member libraries at all. Secondly, fixed amounts allocated to each RRLRS and SLS appear to account for too high a proportion of allocated funds. Finally, there is evidence that the average cost (per unit and per capita) of some services is higher in lightly populated areas (e.g., under 300,000 persons) and lower in highly populated areas.

Recommendation F6

DLD should examine funding formulas to establish funding factors more clearly related to actual costs of services. This can be done if Library Systems provide cost and quantity data by service.

6.2.6 Disbursement of Funds Among Library Systems

One of the most difficult problems has been the distribution of automation funds by RRLRS. Several persons, including RRLRS directors, have suggested that such distribution be done under stricter guidelines, thus eliminating future problems.

Recommendation F7

The responsibility of determining how funds for any program should be disbursed among Library Systems should not be given to any one Library System. Rather, the division of funds should be made on the basis of pre-determined formulas, or should be determined by New York State.

6.2.7 User Fees

Some non-publicly supported libraries (e.g., those found in companies, non-profit organizations and some academic institutions) could benefit from having some library operational functions performed by Library Systems (because of economies of scale). These services are those that would normally be done in-house by the libraries such as technical processing, if the libraries were sufficiently large. Because of economies of scale achieved by Library Systems, the cost to these libraries would be substantially less using a Library System than performing the work in-house. Examples of such services include performance of library operational functions (e.g., acquisitions, cataloging, physical processing, etc.), in-depth online bibliographic searching (e.g., over $25) and research. We believe that such services should be made available (and promoted) at a fee equal to cost. The small companies and other organizations, then, can benefit from Library Systems by having this work done for them at less cost than they would incur themselves. Services for which they should not be charged include interlibrary loan, access to Central Libraries, workshops (if free to others), and so on (unless all member libraries are charged).

An argument has been made to us that companies and other such non-publicly funded organizations pay State and Federal taxes and, therefore, should have the same services as other libraries. We believe that such organizations should receive at least the same services that citizens would (through State and local funding) such as access to public library collections, most reference services, interlibrary borrowing, and so on. However, operational services such as technical processing done for public libraries are another matter. Citizens gain the benefits of these services through use of the collections, etc., and so do the employees of companies. Thus, they both benefit by PLS services to member libraries. On the other hand, performing technical services for small companies goes beyond services that should be expected. Charging companies (and others) at cost means that the companies can make a choice of whether to do the work in-house, if less expensive, or use a Library System (e.g., PLS) if it is less expensive. If they choose to use a Library System, everyone should benefit. The companies save costs and Library Systems should be able to serve other member libraries at less cost because of improved economies of scale. If PLS provide such services, because they are already doing so, arrangements should be made through RRLRS for PLS to provide them for special libraries, if cost-effective to do so.

Recommendation F8

Some services should be provided to all member libraries without charge. Such services are those which do not substitute for the services that might be done in-house by a library. Examples include interlibrary borrowing, referral, continuing education, etc.

Recommendation F9

Operational services to libraries that are part of for-profit organizations (e.g., company libraries) should be provided for a fee equal to cost.

6.2.8 Funding Central Libraries

As indicated in the Governance section (Section 5), we recommend that all centralized services to public libraries should be the responsibility of Public Library Systems. Thus, Library System services provided by Central Libraries should be done through contractual or similar arrangements with PLS. Currently, Central Libraries appear to be incurring costs above the amounts being compensated through Central Library Development Aid (see Section 6.7). We believe that CL should be reimbursed for services based on actual costs. If alternative sources for services can be obtained at lower costs and equal to or greater quality and timeliness, such alternatives should be employed.

Recommendation F10

Central Libraries should be funded by PLS for Library System services provided by CL at a level that covers all direct costs. Acquisitions and physical processing of materials purchased through Central Book Aid should be done by PLS at no charge to the Central Libraries.

6.3 DETAILS OF LIBRARY SYSTEM COSTS BY GROUPS OF SERVICES

In Section 3 we categorized Library System services into ten groups (see Section 3.2 for details). In this section we present estimated costs for these groups of services. In Table 6.12 a further breakdown is given for costs. All costs are based on the costs reported in the Library System Survey. Thus, they should not be compared with Library System funding. We note also that Central Libraries reported costs associated with Library System services that were incurred by them (see Section 6.7).

1. Interlibrary lending and borrowing including request processing, verifying and locating materials, loan of materials (by Library System headquarters), and borrowing of materials. The total costs of these services are $4.7 million or 10.2 percent of the total System costs of $46.2 million. The costs are incurred by Library Systems as shown in Table 6.2.

   Interlibrary lending and borrowing saves libraries an enormous amount of costs because libraries can rely on other libraries to provide materials that have low probability of use in their own libraries (or that have been lost or mutilated). We estimate that it would cost New York State libraries about an

Table 6.2
COST OF INTERLIBRARY LENDING AND BORROWING BY
TYPE OF LIBRARY SYSTEM IN NEW YORK STATE: 1988

Library System	Cost of Services	
	($000)	(%)
PLS (1)	$2,694	57%
RRLRS	961	20
SLS	1,037	23
Total	$4,692	100%

SOURCE: King Research, Inc. Library Systems Survey
(1) Central Library costs for these services are estimated to be an additional $1.4 million based on data reported by CL (Central Library survey). Thus, the PLS portion is actually greater than 57 percent.

additional $7.90 per item borrowed*, if an interlibrary lending mechanism were not available at all in New York State. Altogether there are estimated to be about 1.4 million loans through Library Systems (i.e., point-to-point transactions and requests through Library System headquarters). Thus, the cost of $6.1 million has the effect of saving libraries about $11 million. Furthermore, there are substantial savings in money and travel time and effort for patrons. Finally, some needs of patrons could not otherwise be met without ILL.

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* Estimate is based on in-depth analysis of ILL costs and alternatives to ILL performed by King Research, Inc. for Wisconsin, Pennsylvania, UMI International, and others.

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2. **Interlibrary loan support mechanisms** including union lists, retrospective conversion and delivery. Total costs of these services are $5.8 million or 12.5 percent of the total System costs of $46.2 million. The costs are incurred by Library Systems are shown in Table 6.3.

   There is the potential for even more interlibrary lending (and hence savings) with union lists of holdings and other location tools. Thus, the Library Systems are preparing such holdings lists and the other tools necessary to achieve more effective Systems. Furthermore, the bibliographic data made available from retrospective conversion provides the basis for other automated integrated systems which can be used for many purposes. The cost of effort for interlibrary loan support will clearly result in more cost effective operations in the future.

Table 6.3

COST OF INTERLIBRARY LOAN SUPPORT MECHANISMS BY TYPE OF LIBRARY SYSTEM IN NEW YORK STATE: 1988

Library System	Cost of Services ($000)	Cost of Services (%)
PLS (1)	$3,021	53%
RRLRS	1,688	29
SLS	1,042	18
Total	$5,751	100%

SOURCE: King Research, Inc. Library Systems Survey
(1) Central Library costs for these services are estimated to be an additional $14,000.

3. **Access to other shared collections** including rotating collections, pool collections and bookmobiles. Total costs of these services are $2.7 million or 5.8 percent of the total System costs of $46.2 million. The costs are incurred by Public Library Systems are shown in Table 6.4.

   Thus, Library Systems provide other means of access to library materials in addition to interlibrary lending. Such services can be provided because of the central facilities of the Library Systems.

Table 6.4

COST OF ACCESS TO OTHER SHARED COLLECTIONS
BY TYPE OF LIBRARY SYSTEM IN NEW YORK STATE: 1988

Library System	Cost of Services ($000)	Cost of Services (%)
PLS (1)	$2,695	100%
RRLRS	-	
SLS	-	
Total	$2,695	100%

SOURCE: King Research, Inc. Library Systems Survey
(1) Central Library costs for providing these services are estimated to be an additional $1.4 million.

4. **Reference, referral and research services** including manual searching, online bibliographic searching, online searching of other databases, referral searching, and research with written reports. Total System costs of these services are $2.0 million or 4.4 percent of the total System costs of $46.2 million. The costs are incurred by Library Systems as shown in Table 6.5.

LIBRARY SYSTEM COSTS BY GROUPS OF SERVICES (CONT.)

Table 6.5

COST OF REFERENCE, REFERRAL AND RESEARCH SERVICES BY TYPE OF LIBRARY SYSTEM IN NEW YORK STATE: 1988

Library System	Cost of Services	
	($000)	(%)
PLS (1)	$1,677	82%
RRLRS	190	9
SLS	166	8
Total	$2,033	99%

SOURCE: King Research, Inc. Library Systems Survey
(1) Central Library costs for these services are estimated to be an additional $1.5 million.

These services require a range of professional expertise and supporting reference materials and systems. It makes a great deal of sense for libraries to perform these services when requests are straightforward and easily fulfilled. However, more difficult requests should be and are forwarded to Library Systems to process and fulfill. Small libraries in particular do not have sufficient reference materials to answer even relatively straightforward queries. Without System support patrons would either have to go to a large library or simply not get what they need. While exact data are not available, we estimate that savings achieved through Library Systems are at least double the current costs of Library System services.

5. **Performance of library operational functions** such as circulation control, acquisitions and ordering, cataloging, physical processing, etc. The total costs of these services are $11.4 million or 24.6 percent of the total System costs of $46.2 million. The costs are incurred by Library Systems are shown in Table 6.6.

These services can be provided better and with improved cost effectiveness due to economies of scale. We were not able to determine savings for all such services, but we were able to for many of them such as reference, acquisitions, cataloging, physical processing and others in which economies of scale were identified. In fact, for those cost of services where we have good data (including ILL request processing, ILL support services), we estimate that savings achieved by economies of scale are at least 3.5 times the costs for PLS, 3.2 times for RRLRS and 1.5 for SLS. These savings are discussed in more detail in the subsections below and in Section 2.2.3.

Table 6.6

COST OF PERFORMANCE OF LIBRARY OPERATIONAL FUNCTIONS BY TYPE OF LIBRARY SYSTEM IN NEW YORK STATE: 1988

Library System	Cost of Services	
	($000)	(%)
PLS (1)	$10,529	92%
RRLRS	760	7
SLS	103	1
Total	$11,392	100%

SOURCE: King Research, Inc. Library Systems Survey
(1) Central Libraries reported they incurred no costs for these services.

6. **Direct services to users** are provided by Library Systems across member library service areas because it is less expensive to do so from a central source. Total costs of these services are $4.3 million or 9.2 percent of the total System costs of $46.2 million. The costs are incurred by Public Library Systems as shown in Table 6.7.

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These services are provided by PLS only. Included in these services are outreach and job information. Sometimes, but not always, the PLS deal directly with users. Bookmobiles and reading stations might logically be categorized in this group since they deal directly with users.

Table 6.7

COST OF DIRECT SERVICES TO USERS BY
TYPE OF LIBRARY SYSTEM IN NEW YORK STATE: 1988

Library System	Cost of Services	
	($000)	(%)
PLS (1)	$4,253	100%
RRLRS	-	
SLS	-	
Total	$4,253	100%

SOURCE: King Research, Inc. Library Systems Survey
(1) Central Library costs for these services are estimated to be an additional $222,000.

7. Support of Library Development such as consulting services, grant preparation and administration, and continuing education. Total costs of these services are $5.7 million or 12.5 percent of the total System costs of $46.2 million. The costs are incurred by Library Systems as shown in Table 6.8.

There are areas of special professional library expertise and competencies that are not required full-time by most individual libraries. The Library Systems can provide such expertise by hiring such persons full-time or part-time. Such consulting back-up is particularly useful to small public, special and school libraries. Similarly, workshops for library member staff and others can be enormously helpful and presented less expensively by Library Systems than by individual libraries.

Table 6.8

COST OF SUPPORT OF LIBRARY DEVELOPMENT BY
TYPE OF LIBRARY SYSTEM IN NEW YORK STATE: 1988

Library System	Cost of Services	
	($000)	(%)
PLS (1)	$3,855	67%
RRLRS	821	14
SLS	1,073	19
Total	$5,749	100%

SOURCE: King Research, Inc. Library Systems Survey
(1) Central Library costs for these services are estimated to be an additional $30,000.

8. Enhancement of Interlibrary Cooperation such as cooperative collection development, communication and direct access to member library collections. Total costs of these services are $3.1 million or 6.7 percent of the total System costs of $46.2 million. The costs are incurred by Library Systems are shown in Table 6.9.

There is a great deal of interlibrary cooperation that takes place directly among libraries (in addition to point-to-point interlibrary lending). Library Systems support and enhance this cooperation indirectly through arranging meetings and providing guidance for such cooperation, and directly through communications such as electronic bulletin boards, newsletters, etc. Intersystem cooperation is enhanced by these means as well.

Table 6.9

COST OF ENHANCEMENT OF INTERLIBRARY COOPERATION PROGRAMS BY TYPE OF LIBRARY SYSTEM IN NEW YORK STATE: 1988

Library System	Cost of Services	
	($000)	(%)
PLS (1)	$1,676	54%
RRLRS	349	11
SLS	1,085	35
Total	$3,110	100%

SOURCE: King Research, Inc. Library Systems Survey
(1) Central Library costs for these services are estimated to be an additional $45,000.

9. Member library participation including directors' and library council, communication and meetings, use of committees, questionnaires, other liaison activities and non-System delivery. Total costs of these services are $1.9 million or 4.0 percent of the total System costs of $46.2 million. The costs are incurred by Library Systems are shown in Table 6.10.

   In a sense this is an administrative or overhead service that must be provided by Library Systems.

Table 6.10

COST OF MEMBER LIBRARY PARTICIPATION BY
TYPE OF LIBRARY SYSTEM IN NEW YORK STATE: 1988

Library System	Cost of Services ($000)	Cost of Services (%)
PLS (1)	$660	36%
RRLRS	422	23
SLS	775	42
Total	$1,857	101%

SOURCE: King Research, Inc. Library Systems Survey
(1) Central Library costs for these activities are estimated to be an additional $41,000.

10. Computer facilities including computers, terminals, special purpose equipment and staff. Total costs of these services are $4.6 million or 10.0 percent of the total System costs of $46.2 million. The costs are incurred by Library Systems are shown in Table 6.11.

Sometimes these costs are allocated to specific services. However, many Library Systems in reporting costs in the Library System survey chose not to do so.

Table 6.11

COST OF COMPUTER FACILITIES BY
TYPE OF LIBRARY SYSTEM IN NEW YORK STATE: 1988

Library System	Cost of Services ($000)	Cost of Services (%)
PLS (1)	$4,271	92%
RRLRS	105	2
SLS	257	6
Total	$4,633	100%

SOURCE: King Research, Inc. Library Systems Survey
(1) Central Library costs for these services are estimated to be an additional $482,000.

A detailed breakdown of these costs is given in Table 6.12 on the following three pages.

Table 6.12

ESTIMATED TOTAL COSTS OF NEW YORK LIBRARY SYSTEMS BY TYPE OF SERVICE AND BY TYPE OF SYSTEM: 1987/88

Type of Service (service code)	PLS ($000)	RRLRS ($000)	SLS ($000)	TOTAL ($000)
Interlibrary Lending & Borrowing				
ILL request processing (1.1)	$904	$329	$405	$1,638
Verifying and locating materials (3)	620	240(130)	290(14)	1,294
Interlibrary loan of materials (1.2.1)	840	190	140	1,170
Interlibrary borrowing of materials (1.2.2)	220	22	118	360
Equipment lending (2.1-2.3)	60(50)	50	70	230
Subtotal	$2,694	$961	$1,037	$4,692
Interlibrary Loan Support Mechanisms				
Union list/catalog production (4.9)	$289(230)	$319(301)	$193(24)	$1,356
Retrospective conversion (4.7)	511(131)	144(429)	644(160)	2,019
Delivery (4.14.2)	1,750(110)	82(413)	21	2,376
Subtotal	3,021	$1,688	$1,042	$5,751
Access to Other Shared Collections				
Rotating collections (1.3)	$170	-	-	$170
Pool collections (1.4)	625	-	-	625
Bookmobiles (1.5)	1,900	-	-	1,900
Subtotal	2,695	-	-	$2,695
Reference, Referral and Research Services				
Manual searching (4.12.1)	$1,250	$28(18)	$50	$1,346
Online bibliographic searching (4.1.2.2)	143(4)	100	56(1)	304
Online other database (4.12.3)	83(8)	27	36(2)	156
Referral searching (4.12.4)	169	11	21	201
Research with written reports (4.12.5)	18(2)	(6)	-	26
Subtotal	$1,677	$190	$166	$2,033

Items in parentheses are (1) service codes used in the survey and other parts of the study and (2) values of contracted costs that consist of over 50 percent of costs for service for an individual Library System. These costs are included in total.

Table 6.12 (continued)

Type of Service (service code)	PLS ($000)	RRLRS ($000)	SLS ($000)	TOTAL ($000)
Performance of Library Operational Functions				
Circulation control (4.1)	$1,100	-	-	$1,100
Collection development (4.2)	316(50)	$42(67)	-	475
Acquisitions and ordering (4.4)	1,577(73)	418	-	2,068
Cooperative purchasing (4.5)	1,330	64	-	1,394
Cataloging (4.6)	1,760(180)	56(4)	-	2,000
Catalog production (4.8)	1,160(54)	16	-	1,230
Physical processing (4.10)	1,110(120)	-	-	1,230
Conservation/preservation (4.11)	125	10	-	135
Materials examination (4.13)	207(89)	-	19	315
Recordkeeping (4.15)	275	-	-	275
Public relations/printing (4.17)	1,003	83	84	1,170
Subtotal	$10,529	$760	$103	$11,392
Direct Services to Users				
Outreach services (6.1-6.12)	$3,150(108)	-	-	$3,258
Job information (4.18)	788(207)	-	-	995
Subtotal	$4,253	-	-	$4,253
Support of Library Development				
Consultant services (4.16.1-4.16.31)	$2,020(200)	$280	$701(8)	$3,209
Grant preparation & administration (9.1-9.6; 10.1-10.8 grant amounts not included)	1,104	246	50	1,400
Continuing education (5.1-5.4)	531	295	314	1,140
Subtotal	$3,855	$821	$1,073	$5,749

Items in parentheses are (1) service codes used in the survey and other parts of the study and (2) values of contracted costs that consist of over 50 percent of costs for service for an individual Library System. These costs are included in total.

Table 6.12 (continued)

Type of Service (service code)	PLS ($000)	RRLRS ($000)	SLS ($000)	TOTAL ($000)
Enhancement of Interlibrary Cooperation				
Cooperative collection development (4.3)	$95	$77	$57 (10)	$239
Communication (7.1-7.4)	492	222	961	1,675
Direct access to member collection (12.1-12.4)	1,089	50	57	1,196
Subtotal	$1,676	$349	$1,085	$3,110
Member Library Participation				
Directors or librarians council (11.1, 11.5)	$110	$51	$101	$262
Committees representative library member (11.2)	199	165	438	802
Ad hoc questionnaires (11.3)	85	30	38	153
Liaison group (11.4)	44 (58)	- (28)	- (17)	147
Other delivery (all but 4.14.2)	164	148	181	493
Subtotal	$660	$422	$775	$1,857
Computer Facilities (2)				
Computers (8.1)	$1,111 (600)	$42	$138	$1,891
Terminals and peripherals (8.2)	337 (1,070)	36	76 (2)	1,521
Special purpose equipment (8.3)	37	-	36	73
Computer staff (8.4)	1,109	27	-	1,136
Other (8.6)	7	-	5	12
Subtotal	4,271	$105	$257	$4,633
TOTAL (3)	$35,331 (1)	$5,296	$5,538	$46,165

SOURCE: King Research, Inc., Library System Survey

Items in parentheses are (1) service codes used in the survey and other parts of the study and (2) values of contracted costs that consist of over 50 percent of costs for service for an individual Library System. These costs are included in total.

(1) Central Library costs are not included in these costs. This Table does not include System costs incurred by The New York Public Library, Queens Borough Public Library and Brooklyn Public Library.

2) Computer and other technology costs that are not allocated to specific services.

3) General and administration costs are allocated to services in proportion to their costs.

6.4 FUNDING PUBLIC LIBRARY SYSTEMS (PLS)

Under current law (1986) and Executive Budget, Public Library Systems allocations for 1988-89 include the funds listed below for public library services.

Table 6.13

AMOUNT OF PUBLIC LIBRARY SYSTEM FUNDING BY
TYPE OF FUNDING IN NEW YORK STATE: 1988/89

Type of Funding	Funding ($)
State Aid	
Annual grant	$1,530,010
Per capita	14,397,619
Square miles	2,564,626
Book reimbursement programs	10,534,843
Due minimum (1)	211,701
Total	$29,238,799
Automation Grants	$1,420,000
Coordinated Outreach	$2,679,807
Local Library Incentive Aid	
System	$3,357,234
Member libraries (2)	4,335,648
Total	$7,692,882

(Table cont. on next page)

Table 6.13 (cont.)

AMOUNT OF PUBLIC LIBRARY SYSTEM FUNDING BY TYPE OF FUNDING IN NEW YORK STATE: 1988/89

Type of Funding	Funding ($)
Central Library	
Central Library Development Aid	$4,905,367
Central Book Aid	1,403,600
Total	$6,308,967
Indian Libraries (2)	$280,756
Library Services to Local Correctional Institutions (2)	$175,000
Library Services to State-operated Correctional Institutions	$370,000
TOTAL (3)	$48,166,211

SOURCE: Division of Library Development

(1) Due minimum is for PLS that do not achieve the legislated minimum amount of funds based on formula factors. The due minimum is the difference between the minimum amount given in the law and the amount computed by formula factors.

(2) Total includes some items that are not used for direct Library System operations or services.

(3) Total does not include funds for grants to The New York Public Library, Brooklyn Public Library, Buffalo and Erie Public Library and Nassau PLS. It does not include support to the Schomburg Center for Research in Black Culture.

Note that the exact amounts above may differ under the same law from year to year, because some costs are calculated using variable factors. In addition to the funds allocated to Public Library Systems as shown above, there are funds allocated under special grants to other libraries. These other libraries include Brooklyn Public Library ($350,000), Buffalo and Erie County Library ($50,000), Nassau PLS ($30,000), and The New York

Public Library ($6,956,800) for a total $7,386,800. In some instances the funds serve as adjustments to changes in the 1980 decennial census in order to achieve continuity, and others are to support special services such as to the blind, the Schomburg Center for Research in Black Culture, etc.

Based on costs reported in the Library System survey, the PLS funds are estimated to be applied in the following manner:

		PLS Funds $ Million	Percent of Total
1.	Interlibrary lending and borrowing	2.69	7.6
2.	Interlibrary loan support mechanisms	3.02	8.5
3.	Access to other shared collections	2.70	7.6
4.	Reference, referral and research	1.68	4.8
5.	Performance of library operational functions	10.53	29.8
6.	Direct services to users	1.68	4.8
7.	Support of library development	3.86	10.9
8.	Enhancement of interlibrary cooperation	4.25	12.0
9.	Member library participation	0.66	1.9
10.	Computer facilities	4.27	12.1

The average amount of direct costs per Public Library System is $1.68 million (compared with $616,000 for RRLRS and $110,000 for SLS). Central Library costs are not included above.

One of the principal benefits achieved by Public Library Systems is that many library services are such that they cost less per transaction (up to a point referred to as "critical mass") to provide in large quantities than in small quantitities. Most of the operational services, ILL request processing, reference searching, etc., fall into this category. Thus, there is substantial merit in having Library Systems provide these services collectively for member libraries (particularly to those too small to achieve a critical mass on their own). In some instances critical mass can be achieved by larger member libraries themselves. Even though the amount of service to the large libraries may be above the critical mass, it is necessary to centrally provide services to all libraries (including those which operate above the critical mass) in order to achieve benefits of economies of scale for all libraries. Another way to view this is that the State could fund the libraries directly, but by providing them the services through Library Systems there is a potential for substantial savings across all libraries.

On the next page is a table which shows the total costs of operational services provided to libraries serving populations of different sizes (i.e., from under 800 persons to over 30,000 persons). The total costs of these services are about $13.5 million. The categories of population sizes served by Public Library Systems were designated by us to obtain groups of roughly equal number of libraries and to make the breaks in reasonable hundreds (e.g., 1,500 to 2,500) or thousands. The distribution of population served by libraries is highly skewed; that is, the largest 23 percent of the libraries serve 60 percent of the population. (Note that the New York City public libraries and other very large libraries are not included or the distribution would be even further skewed).

The amount of PLS services received by libraries serving large communities averages about $50,000 per library and the amount drops to $6,700 per library for the libraries serving very small communities. Yet, when considered from the standpoint of cost of services received per person served by the member libraries, the amount of services is substantially greater for the small libraries (i.e., $13.43 per capita for small libraries down to about $2.00 per capita for large libraries). Note that the amount of services and cost of services also vary in the same way across sizes of population served by member libraries.

TABLE 6.14

NUMBER OF PUBLIC LIBRARIES SERVED BY PLS, POPULATION SERVED BY MEMBER LIBRARIES, TOTAL COSTS OF SOME OPERATIONAL SERVICES AND AVERAGE COSTS (PER CAPITA AND PER LIBRARY) BY CATEGORIES OF SIZE OF POPULATION SERVED BY MEMBER LIBRARIES: 1988

	SIZE OF POPULATION SERVED BY LIBRARIES								
	<800	801-1,500	1,501-2,500	2,501-4,500	4,501-7,500	7,501-15,000	15,001-30,000	>30,000	Total
No. of libraries served (in range)	74	91	96	110	95	101	88	78	733
Proportion of libraries (%)	10.0	12.4	13.1	15.0	13.0	13.8	12.0	10.6	99.9
Population served (000)	36.7	107.5	185.9	373.7	514.1	1,114	1,918	1,592	5,802
Prop. of population (%)	0.6	1.9	3.2	6.4	8.9	19.2	33.1	26.7	100.00
Total costs of services (000)	$493	$934	$677	$1,144	$1,831	$1,793	$3,103	$3,821	$13,796
Prop. of costs (%)	3.6	6.8	4.9	8.3	13.3	13.0	22.4	27.7	100.00
Avg. costs per capita ($)	$13.43	$8.69	$3.64	$3.06	$3.56	$1.61	$1.62	$2.46	$2.38
Avg. costs per library ($000)	6.7	10.3	7.1	10.4	19.3	17.8	35.3	49.0	$18.82

Source: King Research, Inc.

Costs computed by multiplying average costs times amount of service provision reported by member library survey.

Services include interlibrary request processing and verification, ILL support services, acquisition, cataloging, physical processing, reference, referral and research services, delivery, consulting and workshops.

FUNDING PUBLIC LIBRARY SYSTEMS (PLS) (cont.)

The question becomes what is gained by Public Library Systems providing services to libraries serving small communities if that means a sacrifice of service to the larger ones, assuming that funds might alternatively be distributed on a per capita basis. First of all, the largest discrepancy occurs mostly for libraries serving populations under 1,500 persons and this accounts for only about 10.4 percent of the total costs. Above this size of population the average costs per capita appears to be about $3.50 per capita between 1,500 and 7,500 persons and about $2.00 per capita above that size. One alternative is not to provide services to very small libraries at all. Another alternative for State Aid is to merely fund all libraries directly and let the libraries assume the appropriate costs regardless of additional costs to them resulting from the loss of economies of scale. Rough estimates suggest that the costs to public libraries in the State would be roughly 3.5 times the funds currently spent, if this latter approach were taken. An example is given in Section 2.2.3 for how the analysis is performed to arrive at the factor of 3.5.

State Aid

State Aid to Public Library Systems is determined by the following formula:

1. Base grant depending on number of counties served:

• Less than one county	$10,000	
• One entire county	$20,000	
• More than one county		
- full county	$25,000	/county
- partial county	$10,000	/partial county, and % of $10,000
Population	$0.82	per capita

FUNDING PUBLIC LIBRARY SYSTEMS (PLS) (cont.)

Land area

- One county or less	$41	per square mile
- More than one county	$ 5	per square mile additional sum
- Additional partial county	%	of $5 up to a maximum of $61/ square mile

The allocation related to square miles comes to about seven percent of the total operational funds. We could not find a correlation between amount (or costs) of services provided and square miles of area served. On the other hand, the per capita component of the formula does appear to be an indicator of amount (and costs) of services provided by PLS. However, the amount of services provided by PLS does not appear to be a linear relationship with size of population served. Note particularly that the number of transactions provided per capita is far greater for PLS that serve small populations than for those which serve large populations. We sub-divided the PLS into those that serve the four following groups of population sizes:

- Under 300,000 persons
- 300,000 - 500,000
- 500,000 - 1 million
- Over 1 million

Typically, we find that PLS that serve the smallest populations tend to have average transactions per capita of about three to ten times those of PLS serving large populations. For example, the average number of items physically processed by PLS serving under 300,000 persons is 1.10 items per capita, and for PLS serving over 1 million the average is 0.36 per capita. As another example, number of consultant hours provided by PLS serving under 300,000 persons is 0.18 consultant hours per capita, and for those serving over one million is 0.019 consultant hours per capita.

There are several possible explanations for the discrepancies in the relative amount of services provided to libraries serving different sizes of populations. The first is that PLS provide as much services as their funds allow and the results above reflect funding levels rather than need. The second explanation is that PLS serving small overall populations tend to be serving a disproportionately large number of small libraries which do not have the resources to perform or provide the services themselves. Another explanation is that the holdings of small libraries per population served tend to be larger than the holdings per capita of large libraries. Also libraries with small holdings tend to request more interlibrary loans. Furthermore, the need for consultant services may be proportionately greater for small libraries than large libraries. Finally, another explanation is that the service priorities of PLS serving large populations are different from those serving smaller populations. We believe that all of the explanations above contribute to some degree to the discrepancies observed. If the observed results are valid indicators of real amounts (and costs) of services provided, the funding formula should result in a disproportionate amount of funding according to population sizes. That is, PLS serving smaller populations should receive a higher allocation per capita than PLS serving larger populations.

We believe that amount of demand for library services depends to some degree on the clustering of persons with common information or library needs. Persons with ethnic, age, educational, work or other kinds of demographics tend to cluster together where they live, work or go to school. Such clusters seem to form in large populated areas such as New York City, but also to a lesser degree in other less populated areas. It is less expensive on a per capita basis to serve such groups when they are found in large clusters. In order to serve very small clusters of them or individuals, the number of library holdings must be (almost by definition) greater. Thus, libraries serving small populations would require relatively larger holdings (or need for access through interlibrary loan, etc.).

Finally, we looked at the costs of services provided by PLS located upstate and downstate. Specifically, we examined the cost per transaction of 24 general services in which a reasonably comparable level of service is provided by the two groups of PLS (see Appendix C). Of these 24 services, fourteen were found to cost more per transaction for upstate PLS and the remaining ten were found to cost more for downstate PLS. It could be that downstate PLS are more productive or that they are larger and, therefore, can achieve greater economies of scale. Also, it is possible that the two groups of PLS are providing services and performing operational functions in different ways. However, across services, downstate costs do not appear to be higher on the average as we expected.

6.5 FUNDING REFERENCE AND RESEARCH LIBRARY RESOURCES SYSTEMS (RRLRS)

In 1988/89 RRLRS were allocated the following funds under current Law and Executive Budget (1986):

Table 6.15

AMOUNT OF REFERENCE AND RESEARCH LIBRARY RESOURCES SYSTEMS FUNDING
BY TYPE OF FUNDING IN NEW YORK STATE: 1988/89

Type of Funding	Funding ($)
State Aid	$3,002,389
Coordinated Collection Development	$1,399,811
Medical Hospital	
New York Academy	$ 460,000
Hospital Libraries	$1,266,000
Regional Database	$1,625,000
TOTAL	$7,753,200

SOURCE: Division of Library Development

In addition, the RRLRS Annual Report in 1987 shows RRLRS receiving funds from the following other sources:

1)	Federal aid	$ 539,938
2)	Contracts with other libraries	$ 182,771
3)	Interest and earnings	$ 202,020
4)	Membership fees	$ 271,526
5)	Other	$ 347,577
	TOTAL	$1,543,832

Thus, the RRLRS have revenues in the order of magnitude of $9.3 million. However, real expenditures (i.e., without pass-through or grant funds) come down to about $5.8 million (with State Aid, hospital libraries and other sources). Without any contracts or grants to member libraries (items d and n reported in the Annual Report by RRLRS) the amount is about $3.6 million. The estimated amount of costs reported by RRLRS in the Library System survey is $5.3 million (see Table 6.12) and without significant contracts (grants are not included in the above) the amount is $3.9 million; thus, the Library System survey cost data seem to be reasonably compatible with reported data.

Based on costs reported in the Library System survey, the RRLRS funds are estimated to be applied in the following manner:

		RRLRS Funds $ Million	Percent of Total
1.	Interlibrary lending and borrowing	1.04	18.8
2.	Interlibrary loan support	1.04	18.8
3.	Reference, referral and research	0.17	3.1
4.	Performance of library operational functions	0.10	1.8

	RRLRS Funds $ Million	Percent of Total
5. Direct services to users	1.09	19.7
6. Support of library development	1.07	19.3
7. Member library participation	0.78	14.1
8. Computer facilities	0.26	4.7

The average amount of direct costs per RRLRS is $616,000 (compared with $1.68 million for PLS and $110,000 for SLS).

Note that most of the RRLRS funds and expenditures involve academic, research and special libraries (reported in 1987). Exceptions to this are as follows:

- Interlibrary lending costs which are between $900,000 and $1 million. According to the RRLRS Annual Report, 15.6 percent of the interlibrary loan requests come from Public Library Systems and 11.7 percent from School Library Systems. About 52.6 percent of requests for location data received by RRLRS comes from Public Library Systems and 5.3 percent came from School Library Systems. Most of this is reported by Capital District. It is clear from reported data that these services vary among the regions in terms of exactly what is provided.

- The regional database program which involves a combination of coordination, some work on behalf of member libraries and distribution of funds.

From a combination of the RRLRS Annual Report and the two surveys (Library System and member library) we estimate that approximately 89 percent of the RRLRS costs involve services to academic, research and special library members. (See Section 3.6.2 for a discussion of this estimate.)

State Aid

State Aid for individual regions is determined by the following formula:

1)	Base grant	$230,000 per system
2)	Square miles	$1.15 per square mile
3)	Population	$0.05 per capita

These funds are allocated as given in Table 6.16 to the nine RRLRS. This funding formula is discussed further in Section 6.8.

Regional Database Program

The total State funding for the Regional Database Program is $1,625,000 with Public Library System amounts taken out. These amounts are shown in Table 6.17.

These amounts are based largely on 25 percent of the amount allowed and grant award given (as a result of a plan/proposal) under 1985 Chapter 53. This disbursement of funds is dependent on a five-year plan, a regional needs assessment, and an annual application process.

Hospital Library Service Program

The total of State funds for the Hospital Library Program is $1,266,000. The base formula for this program is as follows:

1)	Land area	$0.75/square mile
2)	Hospitals	$3,458/hospital
3)	Beds	$4.45/bed

In 1986/87 the amount of funds for this program is reported as given in Table 6.18.

TABLE 6.16

ALLOCATION OF RRLRS FUNDING FOR STATE FORMULA AID FOR RRLRS: 1986-88

	Base Grant ($)	Proportion (%)	Square Miles	Allocation ($)	Proportion (%)	Population (000)	Allocation ($)	Proportion (%)	TOTAL ($)
Capital District	$230,000	79.9	7,158	$8,232	2.9	995	$49,750	17.3	$287,982
Central	230,000	83.0	4,077	4,689	1.7	849	42,450	15.3	277,139
Long Island	230,000	63.6	1,199	1,379	0.4	2,606	130,300	36.0	361,679
Metro	230,000	36.6	740	851	0.1	7,938	396,900	63.2	627,751
North County	230,000	86.0	10,730	12,340	4.6	503	25,150	9.4	267,490
Rochester	230,000	81.5	3,140	3,611	1.3	973	48,650	17.2	282,261
South Central	230,000	79.5	10,078	11,590	4.0	956	47,800	16.5	289,390
Southeastern	230,000	78.1	5,429	6,243	2.1	1,165	58,250	19.8	294,493
Western, NY	230,000	73.2	4,828	5,552	1.8	1,573	78,650	25.0	314,202
TOTAL (1)	$2,070,000	68.9		$54,487	1.8		$877,900	29.2	$3,002,387

SOURCE: Division of Library Development
(1) Amounts slightly off due to rounding.

Table 6.17

AMOUNT OF REGIONAL DATABASE FUNDS FOR RRLRS BY REGION IN NEW YORK STATE: 1988

Region	Funds ($)
Capital District	$100,000
Central NY	$185,000
Long Island	$190,000
METRO	$243,750
North Country	$137,500
Rochester	$200,000
South Central	$181,250
Southeastern	$175,000
Western	$212,500
TOTAL	$1,625,000

SOURCE: Division of Library Development

FUNDING REFERENCE AND RESEARCH LIBRARY RESOURCES SYSTEMS (RRLRS) (cont.)

Table 6.18

AMOUNT OF FUNDS FOR RRLRS HOSPITAL GRANTS
BY REGION IN NEW YORK STATE: 1986/87

Region	Grant	Other	Total
Capital District	$87,375	-	$87,375
Central NY	55,199	23,490	78,689
Long Island	105,277	-	105,277
METRO	442,007	-	442,007
North Country	70,362	21,082	91,444
Rochester	62,197	23,881	86,078
South Central	105,046	5,462	110,508
Southeastern	97,203	-	97,203
Western	141,024	25,633	166,657
TOTAL	$1,165,690	$99,547	$1,265,237

SOURCE: RRLRS Annual Report 1986/87

Cooperative Collection Development for Academic Libraries

The Coordinated Collection Development program assists public and nonprofit independent colleges and universities in building collections to share research materials within regions. These institutions are eligible for grants based on:

1) $4,280 per institution, and
2) $0.75 per full-time equivalent student enrolled.

The allowance for full-time equivalent students probably accounts for the largest share of the grant.

6.6 FUNDING SCHOOL LIBRARY SYSTEMS (SLS)

School Library Systems are funded to a level of $5,044,209 annually at the current time. Their funding is also based on a funding formula consisting of the following factors: an annual base grant, number of school districts served ($350 per district), square miles served ($2.10 per square mile) and number of students served ($0.19 per student). A lump sum amount to SLS varies with size of SLS at the following amounts: $72,000, $82,000, $110,000 and $775,000.

Based on costs reported in the Library system survey, the SLS funds are estimated to be applied in the following manner:

1. Interlibrary lending and borrowing ($1.04 million; 19.6% of total)
2. Interlibrary loan support mechanisms ($1.04 million; 19.6% of total)
3. Reference, referral and research ($166,000; 3.1% of total)
4. Performance of library operational functions ($103,000; 1.9% of total); mostly public relations and materials examination
5. Support of library development (consultant services - $709,000; 13.4% and continuing education - $314,000; 5.9% of total)
6. Enhancement of interlibrary cooperation ($1.09 million; 20.5% of total); nearly all is communication
7. Member library participation ($594,000; 11.2% of total)
8. Computer facilities ($257,000; 4.8% of total)

The average amount of direct costs per School Library System is about $110,000 (compared with $1.68 million for PLS, and $616,000 for RRLRS)*. The services in most School Library Systems are provided by one professional and one or two support staff. Staff accounts for a large portion of the budget and the staff is generally stretched about as far as it can.

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* Note that only four of the 46 SLS are above this average (with New York City dominating at $1.01 million). The remaining 42 SLS range from about $75,000 to $100,000.

FUNDING SCHOOL LIBRARY SYSTEMS (SLS) (cont.)

We believe that more School Library System services should be provided to school libraries in the future and funding levels should reflect increased services (see Recommendation F2). In particular, when the union lists and other ILL support mechanisms are fully utilized it is likely that there will be substantially more interlibrary loan and reference and referral activity. Also school libraries and media centers are typically small. Thus, they are subject to considerable savings through economies of scale for most operational functions. We believe the State would save millions of dollars if at least some operational functions were to be provided or facilitated by SLS. We do not know whether providing such services would yield sufficient activities for all SLS to achieve economies of scale. If not some SLS should arrange to combine such services across SLS or to contract with PLS or some other appropriate organization.

It appears to us that there needs to be more referral, by SLS to PLS and RRLRS, of both interlibrary borrowing requests and difficult reference requests. This should reduce the cost per transaction and free up some SLS directors' time for more personalized services such as consulting, continuing education and communication. Furthermore, SLS should consider delegating some of the production-like activities such as the remaining retrospective conversion and union list production to other systems. If such services are referred or delegated to PLS, RRLRS or other organizations, the SLS should arrange to do so under formal agreement. In any circumstances the SLS need to know their costs to make informed judgements concerning where the work should be done and for how much.

6.7 CENTRAL LIBRARY FUNDING

6.7.1 Amount of Central Library Funding

The funds received by Central Libraries include:

Central Library Development Aid (CLDA)	$2,996,032
Central Book Aid (CBA)	$1,212,200

These funds do not include funds to Consolidated Systems. Costs of providing Central Libraries services and other services are estimated to be $7.0 million based on data reported on the Central Library survey.

Below we provide estimates of quantities of services and cost of services provided by CL. These estimates are based on data provided from the CL survey in which 16 of 23 Central and Co-Central Libraries responded (not including the three Consolidated Systems). As expressed in Section 3, we are concerned about the "softness" of these data, but present them to demonstrate a quantitative way to address issues concerning Central Book Aid and costs of providing services to member libraries.

The role of the Central Library is different from that of the Public Library System in that CL's serve their own patrons as well as patrons of other member libraries either directly, as requests through the member library or through the PLS. Below we describe the services from the standpoint of "local" patrons versus the patrons that do not live in the CL local community. The extent to which CL local community patrons and patrons not in local community are served is given below.

6.7.2 Extent to Which "Local" and "Non-Local" Patrons Are Served by Central Libraries

Apparently a substantial amount of activity in Central Libraries involves patrons who do not live in the local community (see Table 6.19). For example, an estimated 22 percent of all patrons are non-local patrons. Non-local patrons visit the CLs about 1.8 times per year (compared with 3.2 visits per year for "local" patrons). The number of visits of non-local patrons seems high since these patrons are estimated to live an average of 17 miles away from the CLs. Rough estimates of the distribution of distance of non-local patrons to the CL is as follows:

	Proportion of Patrons
Less than 10 miles	61%
10-24 miles	30%
25-49 miles	8%
50-100 miles	1%
Over 100 miles	0.4%

Members of the Advisory Committee report that this distribution is similar to those of public libraries in New York State.

Table 6.19

NUMBER OF LOCAL AND NON-LOCAL PATRONS SERVED BY CENTRAL LIBRARIES BY TYPES OF SERVICES IN NEW YORK STATE: 1988

Type of Service	Type of Patron Served		
	Local Community Patrons	Patrons Not in Local Community	Total of All Patrons
No. of registered patrons (11,9)	1,485,000	420,000	1,905,000
No. of visits (10,9)	4,800,000	755,000	5,555,000
Circulation (CBA) (11,8)	1,219,000	1,054,000	2,273,000
Circulation ("local" collection) (11,8)	4,121,000	1,886,000	6,007,000
ILL items borrowed (16,6)	191,000	65,000	256,000
Manual searching of printed pubs.(12,8)	315,000	252,000	567,000
Online bibliographic searching (9,6)	70,000	26,000	96,000
Online other database searching (6,4)	900	1,600	2,500
Referral searching services (5,3)	5,600	8,800	14,400
Research analysis (3,1)	3,000	60	3,060

SOURCE: King Research, Inc. Central Library Survey (N = 23; n = 16) Numbers in parentheses indicate no. of CLs (of 16) that responded for each type of service. First number is total and second number is local and non-local.

Nearly one-half (46%) of the circulation of the CBA collection is to non-local patrons and 31 percent of the use of the "local" collection is by these non-local patrons. About one-fourth of the ILL items borrowed by CL for patrons are for non-local patrons. Similar results as those above are observed for different types of reference, referral and research requests.

We find that the proportions of acquisitions and total collections purchased with CBA are less than estimates of the relative circulation of these collections. Estimates of acquisitions and collection sizes are given for books and monographs and journals and periodicals below:

Table 6.20

ESTIMATED NUMBER OF ACQUISITIONS AND TOTAL COLLECTION SIZE
OF CENTRAL LIBRARIES BY TYPE OF MATERIAL AND BY
CBA AND NON-CBA SOURCE IN NEW YORK STATE: 1988

Type of Material	Acquisitions		Total Collection	
	CBA	Non-CBA	CBA	Non-CBA
Books & Monographs (vols)	52,600	246,000	1,073,000	4,596,000
Journals & Periodicals (titles)	2,500	13,400	--	--

SOURCE: King Research, Inc. Central Library Survey (N = 23; n = 16)

CBA acquisitions account for about 18 percent of all book and monograph acquisitions and 16 percent of journal and periodicals acquisitions.

There are two types of beneficiaries of the CBA and "local" collections. First of all local patrons benefit by having the CBA collection available to them. We estimate from the CL survey that they do indeed benefit in that about 1.2 million CBA items are circulated to them. In fact, 23 percent of circulation to local community patrons involve books purchased by CBA funded collections (although CBA collections account for 19% of all items). The non-local patrons also are circulated an estimated 1.9 million items from "local" collections. Thus, non-local patrons appear to benefit more (from "local" collections) than local patrons benefit from CBA collections. This does not include in-house use of reference books, however. The cost of CBA-related activities (see Table 6.21 for list of activities) is estimated to be about $2.3 million (not including book purchases). Thus, the costs of CBA-related activities are nearly double the cost of purchasing the books ($1.2 million).

6.7.3 Arguments For and Against the Concept of Central Libraries

The basic concept of Central Libraries (expressed in Emerging Library Systems) is that there need to be central sources of strong collections of adult non-fiction, foreign language and reference materials located throughout the State. These collections would provide equity of access to materials as best possible considering the trade-off of distance required by patrons who do not reside in the CL local areas versus the need for strong, unified collections. A counter argument is that there can be large and strong collections in areas, but the collections need not reside within one (or even two) Central Libraries; the argument being that one can relatively easily gain access to all of the collections through interlibrary loan which is currently substantially enhanced by union listings of holdings and area-wide delivery services provided by PLS. A brief listing of arguments for and against the Central Library concept are given below:

Arguments for:

- The value of a strong collection is enhanced by its being found in one location. Thus, a patron can go to one place and obtain any and all documents that are needed.
- A strong, central source increases reference, referral and research capabilities in an area.
- Overall amount of interlibrary lending in an area will be decreased, if the entire collection is located near a population center.
- Because of economies of scale, having centralized interlibrary lending will reduce average and total costs of this function.

Arguments against:

- It is unfair to non-CL communities to not directly share in CBA funds.
- If the collection is properly shared among libraries in an area, amount of ILL will reduce because patrons will be able to obtain what they need in their "local" collection. (This assumes that more than a single item will satisfy a specific information need.)
- It is less "expensive" for some patrons to have "local" collections than for them to visit a CL.

In order to understand all of the implications of the Central Library issue one must know the economic implications as well. The problem is that, in addition to the cost of the price paid for CBA materials, there are many operational costs associated with:

- collection development,
- acquisitions and ordering control,
- mail processing and receipt processing,
- cataloging,
- catalog maintenance,
- physical processing (property stamps, spine labels, etc.),
- circulation and circulation control,
- costs associated with in-house use of the collection such as shelving and reshelving,
- shelves and space, and
- collection management (withdrawal, binding, etc.).

In the CL survey we asked for data concerning the costs of these activities associated with their Central Library status. Estimates of these costs are as follows:

Table 6.21

ESTIMATED COSTS TO CENTRAL LIBRARIES BY TYPE OF ACTIVITY AND BY TYPE OF COST IN NEW YORK STATE: 1988

Type of Activity	Only Labor Salaries and Wages ($)	Other Variable (e.g., purchase of materials, photocopying, etc.) ($)	Fixed (e.g., OCLC fee, allocated space, shelves, etc.) ($)	Total ($)
Collection development (11)	$168,000	$3,500	$1,800	$173,300
Collection management (withdrawal, binding, etc.) (13)	$129,000	$4,400	$3,500	$136,900
Direct access by non-local patrons (circulation and reference) (9)	$1,119,000	$154,000	$30,000	$1,303,000
Shelving and reshelving (incl. return to shelves, shelves themselves, and space) (5)	$192,000	$700	$8,300	$201,000
Acquisitions and ordering control (12)	$173,000	$59,800	$2,300	$235,100
Mail processing and receipt processing (5)	$23,900	$300	--	$24,200
Cataloging (7)	$32,700	$1,300	$1,900	$35,900
Catalog maintenance (9)	$69,900	$1,500	$1,900	$73,300
Physical processing (property stamps, spine labels, etc.) (7)	$57,500	$1,200	$2,800	$61,500
Other (3)	$11,500	$5,600	$300	$17,400
Total	$1,976,500	$232,300	$52,800	$2,261,600

SOURCE: King Research, Inc. Central Library Survey (N = 23; n = 16)
Nos. in parentheses indicate no. of CLs (of 16) that reported any costs of activities.

Note that the total cost of these activities ($2.3 million) compares with the $1.2 million cost of purchasing CBA materials and CLDA funds of $3.0 million. Also, many of the technical processing costs are borne by PLS. While the estimated costs appear high, they are not extremely so.

The costs of these activities have significant implications to the Central Libraries as well as to other libraries whose patrons are served by CL. These implications are summarized as follows:

Implications to Central Libraries and Their Patrons

Central Libraries benefit from CBA and CLDA in the following two ways:

(1) CL local patrons receive services that they might not otherwise receive:

- CBA materials that are used in-house and circulated (1.2 million items circulated)
- items borrowed on interlibrary loan (191,000 items)
- reference, referral and research services (315,000 manual searches; 70,000 online bibliographic searches; 900 other database searches; 5,600 referral searches; and 3,000 research analyses).

The cost of these services directly borne by the Public Library System is estimated to be about $3.5 million.

(2) The CLs gain some by achieving economies of scale for some services provided to their "local" patrons. The amount of these savings is not known.

Thus, in effect the CLs and their library community gain at least $3.5 million in patron service by serving as Central Libraries. Furthermore, the CL are allocated $4.2 million in CBA and CLDA to serve non-local patrons as well as their own patrons. Thus, they benefit by about $7.7 million.

On the other hand, the Central Libraries pay a "price" in that their $7.4 million of "real" costs of providing Library System services (see Tables 6.2 through 6.11 and 6.21) appear to be higher (perhaps as much as $3.2 million) than they are paid (i.e., $4.2 million). (Note that some Advisory Committee members have questioned the validity of the Central Library costs, particularly those presented in Tables 6.2 through 6.11).

On balance, assuming validity of the cost and other data one would conclude that the dollar advantages and disadvantages are similar; certainly in the same order of magnitude (at least $7.7 million in benefits vs. $7.4 million in costs).

Implications to Other Libraries in the Area

Other libraries in the area (whose patrons are served by CL), benefit by not bearing the costs of providing the services now being provided by CL. These costs are roughly estimated by us in proportion of non-local patron use involving the following Central Library activities:

• Collection development	$31,000
• Collection management	26,000
• Direct access	699,000
• Shelving and reshelving	109,000
• Acquisitions and ordering	40,000
• Mail processing and receipt processing	4,000
• Reference, referral and research	769,000
Total	$1,678,000

Thus, by having Central Libraries serve their patrons, the other (non-CL) libraries may benefit by as much as $1.7 million in saving the costs borne by Central Libraries in serving the non-CL patrons. On the other hand, the other libraries may lose some support from patrons because they do not meet all the needs of their patrons.

On the other hand, these libraries do not receive funds (CBA, CLDA) which might be allocated to them, their patrons lose "local" access, and the libraries incur costs due to referral to the CL and interlibrary borrowing.

6.8 FUNDING FORMULAS

We examined several factors in the funding formulas to determine if they make sense from the standpoint of whether or not they affect total costs of services, whether they are generally in the right proportion, and whether they should be equally applied. The factors that we looked at were: population served, size of geographic area served, density of population served (i.e., numbers of persons per square mile), sizes of libraries served, and numbers of member libraries served. The factors would appear to be related to certain types of services. For example, generally one would expect:

- **Size of population** to affect interlibrary lending and borrowing; retrospective conversion; pool collections; circulation control, acquisitions, cooperative purchasing, cataloging, catalog production, physical processing, materials examination; reference, referral and research; and direct services to users.
- **Amount of geographic area** to affect services for delivery, bookmobiles, and communication.
- **Number of members** to affect union list production, rotating collections, collection development, conservation/preservation, recordkeeping, public relations, consulting, continuing education, and grant support, cooperative collection development, direct access to members and member library participation.
- **Density** to affect operational support for libraries and other operational support.
- **Size of libraries served** to affect operational support for libraries and other library support.

From analysis, it appears that the most appropriate factors are population, area and members.

FUNDING FORMULAS (cont.)

According to the Library System survey, the cost of these respective services for PLS are shown in Table 6.22. Analogous funding that appears to be related to the three factors involves funding related to (1) population (i.e., per capita from formula and outreach); (2) area (i.e., per square mile from formula); (3) members (i.e., none directly related); and (4) other (i.e., LLIA, book reimbursement, annual grant, automation grant, and due minimum). It appears that, if 54 percent of State funding to PLS is to be directly related to factors such as population and area, the number of members should be considered as a funding factor as well. If members are considered a factor, about 12 percent of the total funds should be reallocated from the population portion of the formula to number of members.

Table 6.22

PUBLIC LIBRARY SYSTEM ESTIMATED COSTS AND FUNDING BY
FUNDING FACTORS IN NEW YORK STATE: 1988

				Proportion of Funding	
Funding Factor	Estimated Costs(1) ($ million)	Prop. (%)	Funding (2) ($ million)	of Total (%)	of P,A&M (%)
Population	$22.9	65%	$17.1	47%	87%
Area	4.3	12	2.6	7	13
Members	8.1	23	-	0	0
Other	-	-	17.0	46	-
TOTAL	$34.8	100%	$36.7	100	100%

SOURCE: (1) King Research, Inc. Library System Survey
(2) Division of Library Development

Further, evidence suggests that for some services the amounts of services and costs are not equally distributed across levels of some factors for PLS. For example, the average cost per capita of interlibrary lending and borrowing is much higher for small populations served (e.g., under 300,000 persons) and become lower as the population sizes increase. Finally, we observed that cost per capita of operational and some other services is higher for small public libraries (i.e., those thast serve small populations) than for large public libraries. There is a clear trend toward this relationship.

The cost of services related to population, area and members and corresponding funding levels for RRLRS are given in Table 6.23.

Table 6.23

REFERENCE AND RESEARCH LIBRARY RESOURCES SYSTEMS ESTIMATED COSTS AND FUNDING BY FUNDING FACTORS IN NEW YORK STATE: 1988

Funding Factor	Estimated Costs(1) ($ million)	Prop. (%)	Funding (2) ($ million)	Proportion of Funding of Total (%)	Proportion of Funding of P,A&M (%)
Population	$2.5	46%	$0.88	11%	40%
Area	0.7	13	0.05	1	2
Members	2.2	41	1.27 (3)	16	58
Other	-	-	5.54	72	-
TOTAL	$5.4	100%	$7.74	100%	100%

SOURCE: (1) King Research, Inc. Library System Survey
(2) Division of Library Development
(3) Involves hospital library funding only.

The "fixed" portion of the funding to RRLRS seems high (72%). If funding factors are to be used, it would seem that they ought to reflect more of the true costs. The remaining funding related to three funding factors (population, area and members) is roughly in the same proportion as estimated costs, if other costs are allocated in proportion. The resulting proportions with such allocation would be 40 percent for population (vs. 46% for costs), 2.3 percent for area (vs. 13% for costs) and 58 percent for members (vs. 41% for costs). It would seem that these three factors are valid, but area should be given more weight and members should be given less weight than the others.

The problem with using members as a method for allocating funds is that this factor might encourage systems to recruit member libraries that do not have sufficient needs or resources to share, or that might not be served to a reasonable extent. Thus, membership fees should be assessed by allocation particularly to cover those costs related to membership participation shown to be about $422,000 above. RRLRS typically charge member fees, ranging from token amounts up to thousands of dollars. We see no reason that such fees should not be required; particularly for non-publicly funded libraries. In fact a strong argument for having such fees is to cover some member-related services and to have the libraries demonstrate their commitment (again, particularly if number of members is considered part of the funding formula). We would argue, however, that there be a sliding scale for fees based on amount of service provision or library size, if the fees are to be more than token amounts. We believe that fees should not be a barrier to service.

An issue that emerged during the course of the study concerned whether there should be minimum standards for RRLRS membership. Presumably, such standards would require that there be a librarian, certain library activities, etc. King Research performed a study for the Small Business Administration on the information needs of small high technology firms. Of 14,000 such firms in the U.S., about 80 percent have fewer than 50 employees (over half have fewer than 10). Only 13 percent of the 14,000 firms have an information support person or librarian. Such companies can make a tremendous contribution to the State's economy. Thus, there is merit in having RRLRS serve them and communities can use this potential service as a means to attract such companies into the area. If minimum standards were imposed for membership, many such small firms would not qualify.

We examined detailed service by service average costs as well as average costs per capita and per square mile across classes of population served (e.g., <900K, 900K-1M, and >1M) and area served for RRLRS. There was no clear cut evidence to suggest that population or area components of funding formula should be weighted.

The cost of services and funding for SLS are given in Table 6.24 by population, area and number of members.

Table 6.24

SCHOOL LIBRARY SYSTEMS ESTIMATED COSTS AND FUNDING
BY FUNDING FACTORS IN NEW YORK STATE: 1988

				Proportion of Funding	
Funding Factor	Estimated Costs(1) ($ million)	Prop. (%)	Funding (2) ($ million)	of Total (%)	of P,A&M (%)
Population	$2.3	42%	$0.59	12%	63%
Area	1.0	18	0.10	2	11
Members	2.2	40	0.25	5	27
Other	-	-	4.10	81	-
TOTAL	$5.5	100%	$5.04	100%	101%

SOURCE: (1) King Research, Inc. Library System Survey
(2) Division of Library Development

The base grant portion of the School Library System formula dominates amount of grant awards (80.5%). The per student portion is next (11.6%), followed by number of districts (5.0%), square miles covered (1.9%) and mergers (1.0%). Considering the services provided, the components of the formula look valid, although perhaps not in the right proportions. For example, the following services would seem to be dependent on the corresponding factors (with "other" funds not included):

1. The number of students accounts for 63% of the total funds, but services which are related to the number of students (and faculty) account for 42% of the total costs (ILL, ILL support and reference, referral and research).

2. The costs related to area, such as delivery, travel and some communications are not clearly delineated, but such services amount to 18% of costs and area accounts for 11% of funds. Delivery is largely covered by BOCES or Big City services. Some SLS contract for delivery.

3. The number of districts (and buildings) accounts for 27% of the total funds, but services which are related to the number of members account for 40 % of the total costs (support services, operational services and services to enhance cooperation).

School Library Systems are relatively closer to keeping accurate cost and output quantity records (compared with other Library Systems); thus, the funding formula could more accurately reflect costs of services. In this way SLS can make compelling arguments to fund likely increased service activity in the future.

SECTION 7
MEASUREMENT

7.1 SUMMARY OF FINDINGS CONCERNING MEASUREMENT

7.1.1 Uniform Accounting

Library Systems in New York State keep basic statistics on resources, funding and some outputs. However, they are not necessarily consistent in either the statistics kept, nor in the way that the statistics are measured/derived. With financial recordkeeping there are many problems including multiple fiscal years associated with local, State and Federal accounting and reporting, and the requirements for keeping accounts on both a cash basis and an accrual basis. Very few of the Library Systems keep cost data by service. There is clearly a need to streamline the financial and statistical recordkeeping procedures and reporting requirements. Furthermore, a strong system of measurement helps ensure accountability.

Recommendation M1

Uniform accounting procedures for reporting State, Federal and other sources of funds should be designed. These procedures should match local accounting requirements as much as possible.

7.1.2 Library System Measurement

Measurement is important because it affects both the ability to manage Library Systems as well as to establish accountability to Legislators and funders. We have stressed the importance of autonomy of individual Library Systems because the environment and conditions vary dramatically throughout the State. However, the funders must have some basis to ensure that funds are effectively utilized. We believe that Library Systems do not currently collect and/or report all the necessary data to help them make valid management decisions concerning service provision, nor for DLD to assess the effectiveness of the application of funds. In order for autonomy to continue we recommend better data collection and reporting practices.

SUMMARY OF FINDINGS: Library System Measurement (cont.)

Currently the best data reporting is required of SLS. They report quantities of general services provided and their costs, although some modifications to current reporting need to be made. RRLRS report sources of revenue and expenditures by resources such as personnel, materials, etc. (including grants and contracts). They also record quantities of some services provided. Thus, RRLRS need to begin data collection and reporting of all services by costs and by amount of services provided. PLS report sources of revenue and operating fund disbursement by resources. They also report whether or not they provide specific services (from an extensive list), but only provide quantities of service for interlibrary lending (by type of material). They provide extensive data on their use of automation. To our knowledge only a very few Library Systems collect input (cost) or output (quantities) data by service. In fact the Library Systems generally experienced difficulty providing such data for the project survey.

Recommendation M2

All Library Systems should maintain input cost and output data (quantities, quality, timeliness, etc.) for each service provided, regardless of how the service is provided.

Recommendation M3

Library Systems (i.e., management and Boards or Councils) should every two years review average costs of services against State norms (i.e., quartiles) to determine whether corrective action is necessary. Results should be reported to DLD.

Recommendation M4

Library Systems should conduct a survey of members every two years to determine satisfaction with timeliness and quality of each System service received. A uniform survey instrument should be designed for each service (with provision for additional questions, if necessary). Library Systems (i.e., management and Boards or Councils) should review satisfaction against State norms (i.e., quartiles of average satisfaction) to determine evidence as to whether corrective action is necessary. Results should be reported to DLD.

Care should be taken to interpret Library System performance such that the different service priorities of libraries and Library Systems are taken into account.

7.1.3 Central Library Measurement

Central Libraries also have a reporting responsibility for Library System services provided by them. Central Libraries should report appropriate revenues, costs by resources and by services, and quantities of services provided including circulation, in-house use, walk-in reference, referral and research patrons (by where they reside). Patron data can be collected by means of in-library or exit surveys.

Recommendation M5

Central Libraries should report input and output statistics annually to the responsible PLS director, who in turn, will report appropriate data to DLD.

7.1.4 Division of Library Development (DLD) Processing and Distribution of Results

DLD currently collects data and provides feedback to the library community through published reports and tables. There is some burden placed on the Systems in their annual reporting to the State, although the study shows that Library Systems spend only about 1.5 percent of their operating budgets in reporting to the State. Not all statistics reported are analyzed, or even published. The statistics tend to be published in a fairly raw form without much analysis (e.g., trend analysis, quartile analysis for average cost and average satisfaction ratings, and other derived indicators). The published statistics also need to be produced in a more timely manner.

Recommendation M6

Financial and statistical reports required by DLD should ask only for data that are needed and used. DLD should review data collection requirements and make them compatible among types of Library Systems.

Recommendation M7

Published statistical reports should include a thorough analysis, (e.g., trend analysis) and should be published and distributed in a timely manner. Average cost data and average satisfaction ratings should be provided by quartiles for use by Library Systems.

7.1.5 Laws and Regulations

A review of laws and regulations revealed the specification of several Library System requirements which Library Systems do not always follow. DLD should prepare a list of appropriate requirements from current laws and regulations and require each Library System to report adherence to them on a periodic basis.

Recommendation M8

A listing of Library System and Central Library requirements given in laws and regulations should be prepared by DLD and the Library Systems should be required annually or every two years to demonstrate that they meet the requirements and how they meet them.

7.2 A SYSTEM OF MEASUREMENT

7.2.1 A Framework for Measurement

There has been a major shift in library performance measurement from the use of input measures (of cost and amounts of resources) to the use of output measures. However, the publication of straight output measures, particularly in the form of comparative listings, can be deceptive. Take for example, the publication of library or System performance on the output measure, "Circulation Per Capita." Clearly, this measure is a better indicator of performance than simply annual circulation statistics. However, without knowing the circulation loan period, the hours of operation of the library, etc. it is difficult to interpret one library or Library System's result against another's. Some analysis to take into account additional factors which affect circulation could be performed to produce a derived statistic, "Effective Circulation Per Capita."

A second consideration in performance measurement is that Library Systems performance is the relationship between outputs produced (measured in terms of quantities, quality, timeliness, etc.) and inputs (or available resources). Output measures alone are not meaningful. It is only when placed into the context of the resources available (collections, staff, facilities, equipment and systems, funding, etc.) and their costs that the outputs can be meaningfully assessed. This relationship can be derived as productivity (i.e., outputs divided by inputs) or inputs divided by outputs (e.g., average cost per transaction).

King Research has developed a Manual* on performance indicators for public libraries that describes a framework for a system of measures for Library Systems. The general framework we have developed for Library System measurement is given in Figure 7.1 on the next page. We have attempted to set forth a system of measures that can be used by Library System management, Library System members and Boards or Councils, and funding agencies (State and others). These three perspectives are shown in part on Figure 7.1 as (1) service input and output (i.e., Library System performance), (2) member library indicators of service importance and their satisfaction with the service (i.e., Library System service effectiveness) and (3) higher order effects of the Library System services such as member library patron satisfaction, extent of use, etc., and the ways in which library information and services are used (e.g., recreation, work, education, etc.).

In this framework, Library System inputs are the resources available and applied to support the services and products of a Library System. The inputs are measured in terms of the amount of staff, facilities, collections , equipment, funding, etc., applied to Library System services. To some extent Library System directors have control over how these resources are allocated to the services offered by the Library System.

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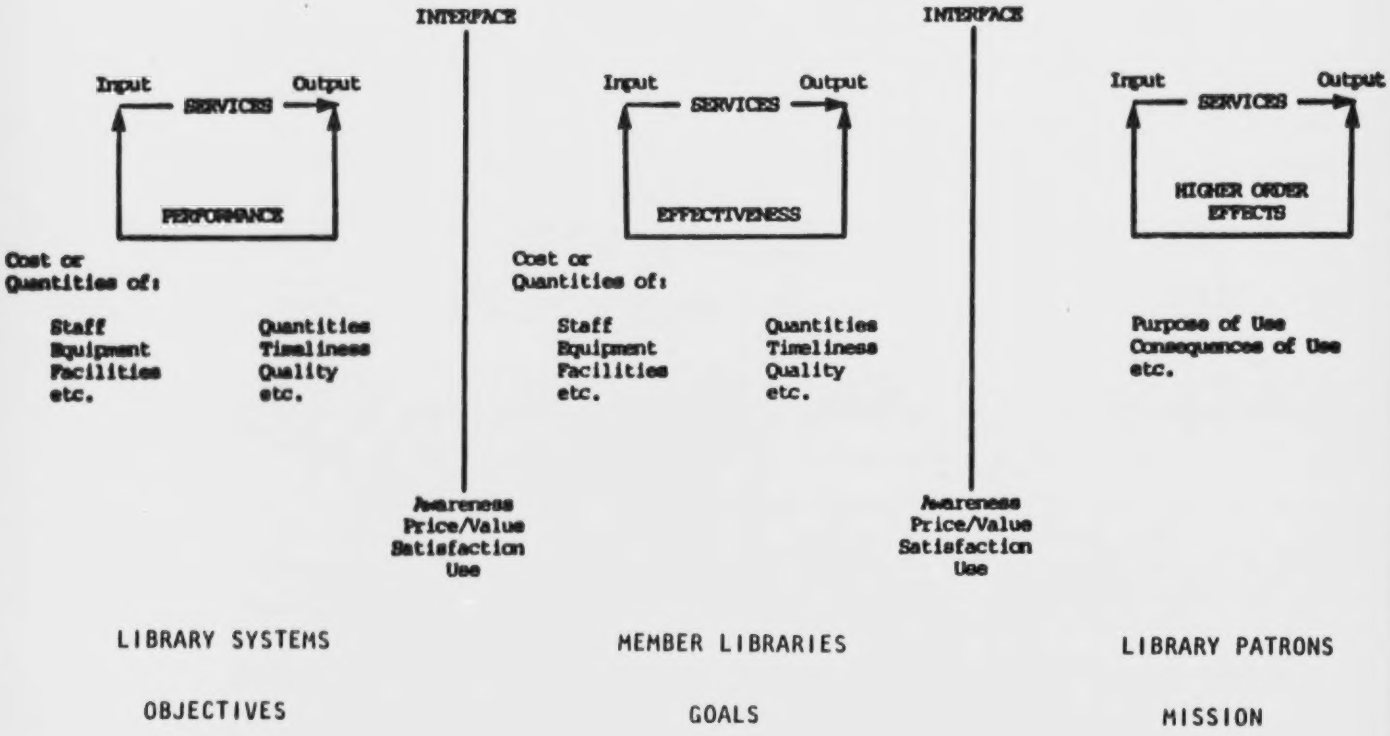
* A Manual of Performance Indicators for U.K. Public Libraries, Jose-Marie Griffiths and Donald W. King, King Research Ltd., British Library Research and Development Department, London: 1989

Figure 7.1

Framework for Library System Measurement


INTERFACE
INTERFACE
Input
SERVICES
Output
PERFORMANCE
Input
SERVICES
Output
EFFECTIVENESS
Input
SERVICES
Output
HIGHER ORDER EFFECTS
Cost or Quantities of:
Staff
Equipment
Facilities
etc.
Quantities
Timeliness
Quality
etc.
Cost or Quantities of:
Staff
Equipment
Facilities
etc.
Quantities
Timeliness
Quality
etc.
Purpose of Use
Consequences of Use
etc.
Awareness
Price/Value
Satisfaction
Use
Awareness
Price/Value
Satisfaction
Use
LIBRARY SYSTEMS
MEMBER LIBRARIES
LIBRARY PATRONS
OBJECTIVES
GOALS
MISSION

Library System outputs are the direct results of the allocation of the resources. They can be measured in terms of the quantities of output produced or made available and their attributes (quality, timeliness, availability, accessibility, etc.).

The effectiveness of a Library System can be measured in terms of the amount of use of and member library satisfaction with Library System services and products. Attributes of use include the cost to member libraries of using the service and the effects of the service on member library performance. A "value" of Library Systems is how much less it costs them to provide services than it would the member libraries themselves.

The impact of Library Systems is partially determined by the domain they serve. Service domains can be measured by the number and type of libraries served, by overall population served or geographic area served. Important attributes of the population served are demographic characteristics of people in the population as measured by age, national origin, education level, etc. Another type of attribute involves their information needs. Higher order effects of Library Systems include purpose of use, such as satisfying personal needs, recreational and leisure time needs, educational needs and work-related needs.

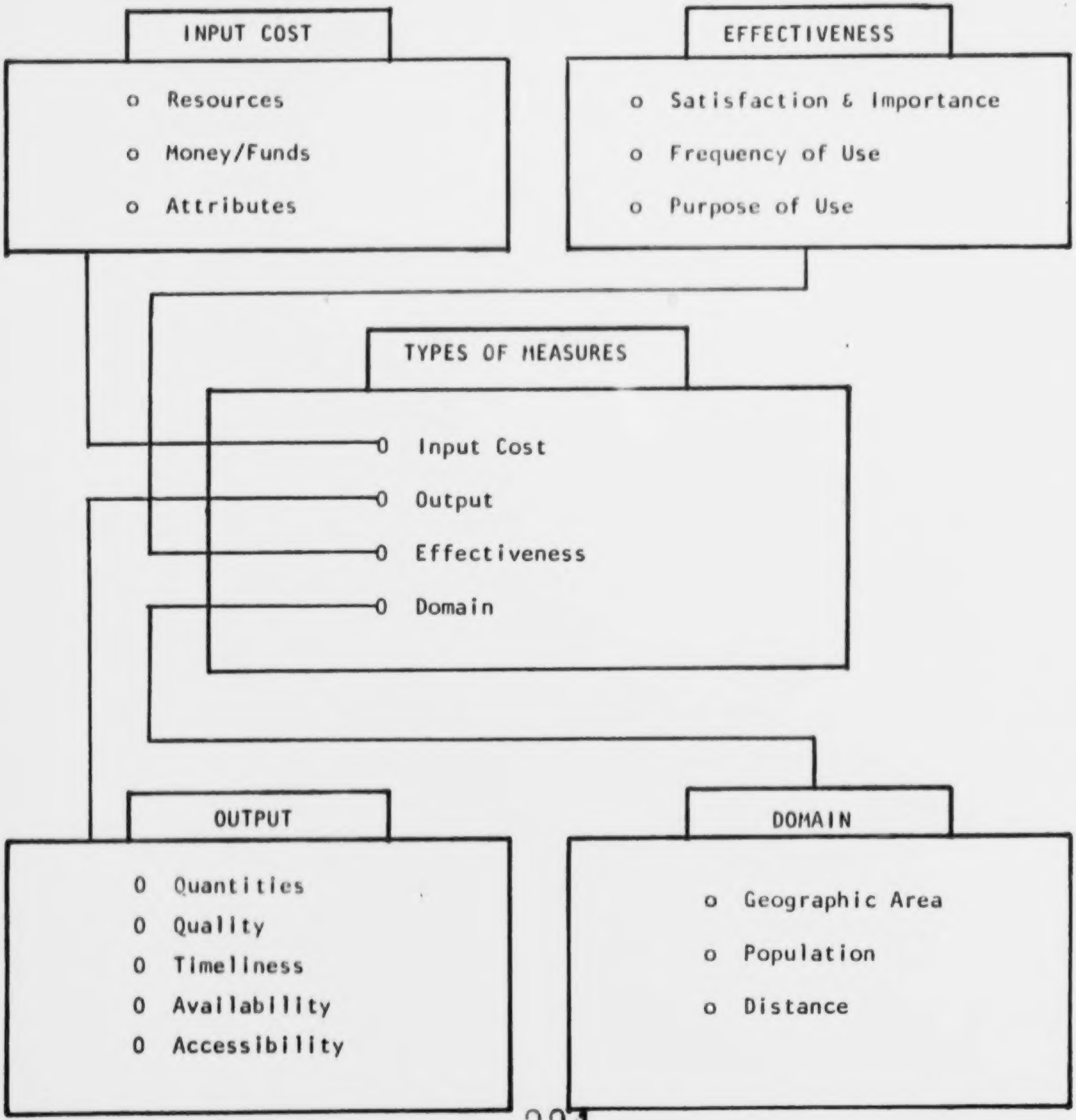
We have subdivided Library System measures into four categories:

- service input cost measures,
- service output measures,
- service effectiveness measures, and
- service domain measures.

These measures are depicted in Figure 7.2.

From these four types of measures one can derive a number of indicators that can be useful from the perspectives of Library System management, Board or Council, funders and member libraries. Many of these measures were obtained from the project surveys or from secondary sources of data provided by DLD. We believe that there are estimates of these

Figure 7.2 Library System Measures


INPUT COST
o Resources
o Money/Funds
o Attributes
EFFECTIVENESS
o Satisfaction & Importance
o Frequency of Use
o Purpose of Use
TYPES OF MEASURES
O Input Cost
O Output
O Effectiveness
O Domain
OUTPUT
O Quantities
O Quality
O Timeliness
O Availability
O Accessibility
DOMAIN
o Geographic Area
o Population
o Distance

measures for all services provided by Library Systems in the State. Exceptions to this statement are that service output quality, timeliness, availability and accessibility have not been measured, except indirectly through member library satisfaction. Also, purpose of use has not been measured and the service domain measure of distance has not been measured.

From the above measures one can derive a large number of useful indicators such as:

- average cost per transaction of individual services,
- average cost per capita,
- average cost necessary to achieve various levels of quality, timeliness, etc.,
- average cost by service attributes or method employed (e.g., automation vs non-automation, upstate vs downstate, type of library served, etc.),
- average cost per level of satisfaction,
- request fill-rates, etc.

Some of these derived indicators have been provided throughout the report.

Library System measures (e.g., cost, quality, statisfaction, etc.) are indicators of size, "goodness," use, usefulness, value, etc. The measures by themselves do not convey much meaning, nor are they very useful in decision making. However, the measures can be placed into a context and meaningful relationships can be established between the measures. These relationships (such as between inputs and outputs, inputs and effectiveness, effectiveness and impacts, etc.) can be helpful to the Library System manager and the Library System's funders to assess Library System performance. Ideally one would like to know exactly how the application of Library System funds affects the quality of life, learning, work, etc. of library patrons. This is not feasible. However, it is possible to relate the application of Library System funds to the amount and quality of services provided, relate quality of services to the extent to which they are used by member libraries, relate the extent of use to member library performance, relate member library output to purpose of use, etc. In knowing these relationships Library System managers and funders can approach the ideal stated above and make truly informed decisions. The relationships described above and depicted in Figure 7.1 form the basis for the system of measures and indicators recommended by us.

Indicators derived from measures are classified into four groups:

- operational performance indicators
- effectiveness indicators
- cost-effectiveness indicators
- impact indicators

The Library System **operational performance indicators** relate Library System input to output. They can be used by the Library System director to make decisions about the allocation of resources to activities, services and products; the outputs to be produced (in terms of both quantities and attributes of output); the productivity of resources, activities, services and products, etc.

The Library System **effectiveness indicators** relate output to use. They represent the performance of a Library System, service, product, etc., from the perspective of member libraries. They can be used by the Library System director to determine how well the member library community is being served. Areas of poor performance from this perspective should be investigated further and the reasons for such performance should be identified.

The Library System **cost-effectiveness indicators** relate input to use. They are in a sense indicators of the outcome of investing resources in Library Systems. Note that higher level outcomes such as the consequences of using Library Systems can also be defined but are much more difficult to measure/derive than the cost-effectiveness indicators. The cost-effectiveness indicators can be used by the Library System director in much the same way as the operational performance indicators, (i.e., to allocate resources and decide on the desirable outcomes in terms of amount of use and user satisfaction) except that instead of considering the immediate outputs of the Library System it is the outcomes of having produced the outputs that are considered.

The Library System **impact indicators** relate the use made of the Library System services or products and the potential use that could be made of them. These indicators represent the level of success of a Library System in achieving what it was set up to do. Particularly important are the reasons for non-use of the Library System service or product. In a sense, the impact indicators represent the performance of the Library System from the perspective of its funders and community served.

7.2.2 Measurement Perspectives

There are basically three measurement perspectives. The first and perhaps most important is the Library System management perspective. From our observation many Library System managers need to keep better statistics and data for management purposes. It seems clear that Library Systems (and libraries of all types for that matter) must operate in a more business-like manner in the future. The most basic measures that Library Systems should make are the quantities of services provided and what it costs to provide these quantities of service. Decisions concerning resource allocation; acquisition of alternative equipment, systems and other resources; extent of service provision; etc. all should depend on total and average costs of services.

Recommendation M10

Library Systems should implement spreadsheet and/or other database management programs and develop both input cost and output quantity measures for every service provided.

We believe that there should be common measures made by the three types of Library Systems (and Central Libraries). These measures should include cost (labor, other variable and fixed) and quantitites for every service. To do this, there must be common definitions of services, a determination of what quantities to measure and of how cost components should be measured (e.g., how to depreciate and allocate capital expenditures). The DLD should develop these measures in conjunction with the Library Systems. There should not be a question of what services to include, but rather how to measure the cost and quantities of each service.

One point that we have emphasized throughout this Report is that Library Systems are different both among and within types for very valid reasons.

Recommendation M11

DLD should develop regulations and guidelines within which individual Library Systems, their Boards and member libraries can determine which services are necessary and how these services can best be provided.

This recommendation places an important responsibility in the hands of Library Systems. However, we do not think Library Systems can accept this responsibility without a total understanding of operational, technical and economic aspects of their organizations and communities served. We believe that nearly all Library Systems have a good grasp of their operations and most (but fewer) are on top of the technology. Where we are most concerned is with the economic aspects of Library System operations. If a Library System cannot tell within reasonable bounds what the total and average costs of individual services are, we seriously doubt that valid decisions can be made concerning which services to add and drop, whether to automate certain services, whether to perform work in-house or rely on vendors, etc. School Library Systems appear to be in the best shape to do this because, with a few modifications in their reporting requirements or by improving internal recordkeeping, they would have the necessary data. The RRLRS also currently report data that provide a start in the right direction, although they need to subdivide their reported data in more detail. Public Library Systems report the services they provide in sufficient detail, but they do not report enough input cost data or output quantities data. Of course they provide by far the greatest number of services of the three types of Library Systems, but they need to maintain more detailed statistics on the cost and quantities of individual service provision.

An indicator of the problem is the degree of difficulty observed in obtaining cost and quantity information from Library Systems during the course of the project. In the Library System survey we asked all the Library Systems to provide cost to headquarters (to nearest $1,000 or less depending on total amount) of specific services subdivided by labor, other variable costs (e.g., photocopying), fixed costs (e.g., OCLC fee, amortization of computer), and contract or grant amount let out to provide the service. Furthermore, we asked the Library Systems to provide the quantities of service provided per year by headquarters. A glossary of terms was provided which defined the services. A one-day workshop was given upstate and downstate to describe the data being sought, why they were sought and suggestions on how to collect the data using cost finding methods. Even so, only a handful of Library Systems at most could provide these data without substantial effort. However, several Library Systems indicated that they intended to develop spreadsheet programs which could provide these data in the future. Others said to us that they would have been able to do so relatively easily if they had been asked to do so well ahead of time.

We believe that with tightening State budgets it behooves the Library Systems to operate in as business-like a manner as possible. There is going to be tremendous competition for funds and Library Systems can make a much stronger argument, if they can demonstrate that they know exactly how their funds are applied and what returns are achieved on the State's investment in Library Systems. We have tried to demonstrate how this can be done. Operating in a business-like manner means that Library Systems should, at minimum, keep input cost and output quantity data by individual service. The State should provide guidelines for doing this and the project survey form is a good place to begin.

We suggest that each Library System review its reported costs and quantities to see how its average cost compares with overall averages and quartiles. Sometimes a Library System may be in the lowest quartile for certain services because of the way in which the service definition was interpreted or because of the way in which the service is provided. However, if a Library System consistently has high costs across services, it should examine its operating and service practices. We further suggest that Library System directors present these data to their Boards or Councils. Otherwise Library System Boards/Councils should ask for these data.

7.3 LIBRARY SYSTEM SERVICE INPUT COSTS

Service input costs are defined as the application of resources to provide Library System services. Examples of resources include:

- financial resources
- staff,
- facilities,
- equipment and systems
- collections, and
- all other resources (e.g., furniture, supplies, etc.)

There are three types of service input costs that can be measured:

7.3.1 Amount of Resources Applied to Services

Each service requires the application of several resources in order to be provided. For example, online bibliographic searching requires reference and support staff, space for staff and service, terminals and peripheral equipment, reference and searching materials, and so on. Generally, amounts of these resources include:

- Financial amounts budgeted for services
- Number of staff or staff hours applied to services
- Amount of space allocated to services

- Number (or hours) of equipment items and systems used to provide services
- Number of collection items applied or used

7.3.2 Amount of Money/Funds Applied

The amount of resources applied to services can be converted into and expressed in terms of dollar costs. Once amount of resources applied to services is determined, conversion to measures of cost is not too difficult in terms of the following types of measures:

- Hourly wages, salaries or compensation applied to services

- Amount of space rent or depreciated expenditures applied to services

- Equipment and system lease or depreciated expenditures applied to services

- Price and cost of processing of collection items applied or used

7.3.3 Relevant Attributes of Resources Applied

Attributes of resources may be useful to identify and carry through measures of Library System service input and output because decisions may be required concerning such attributes. For example, one may wish to establish productivity (e.g., output quantities divided by input costs) by levels of staff such as professional librarians, paraprofessionals or support staff.

7.3.4 Other Considerations

It is essential that Library System service costs be observed in the specified contexts of a time period, purpose for which the costs are incurred, and attributes of services. The context must be the same as the context for measuring output. A common time period is a year, although other time periods could have meaning for specific problems and discussions as well. Purpose implies that a service or resource must be specified for establishing a context for cost measurement. Attributes of a resource or service are inherent characteristics of a resource (e.g., education level of staff).

Measuring the amount of resources or money applied to specific services is not simple because staff or equipment, for example, may be used for several services. Thus, their time must be allocated among the services to which they are applied. Furthermore, some resources are not applied directly to services, but rather to non-service activities such as administration. Yet these resources must be measured and considered as well. Some of these concepts are discussed briefly below.

The first concept deals with direct and indirect costs.

- Direct cost is the application of resources which are easily identified with a service.
- Indirect costs are those which are not easily assignable or readily attributable to any one service. Rosenberg (and others) subdivides indirect costs into two categories:
  - Indirect operating costs. These costs include centrally budgeted items (e.g., utilities, rent, insurance, etc.) that are necessary to the general operation and maintenance of the Library System.*
  - Indirect support costs. Costs for support services that benefit overall administration of the Library System and its services (e.g., administration, accounting, personnel, etc.)*

The key to assigning costs into direct or indirect is whether changes in amount of services appreciably affect such costs. The indirect costs can end up being allocated in some equitable way to direct costs such as allocating these costs in proportion to amount of direct costs.

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* Definition of terms adopted from Cost Finding for Public Libraries, Philip Rosenberg, American Library Association, Chicago, 1985.

Another concept of cost involves fixed costs, semi-fixed costs (i.e., step costs), variable costs, and incremental costs. Total cost of service normally consists of the application of a number of resources such as staff, equipment, facilities, etc. Sometimes the resources are applied to the service when the service is requested or used. That is, these costs vary when the service is used and are, therefore, called variable costs. In other instances, resources are purchased or leased for the purpose of applying them to services over a period of time. However, once the expense is incurred, it does not matter how many times the resource is used, the cost is fixed and does not vary. Furthermore, use essentially does not deplete the resource (except when used extensively). There are two kinds of fixed costs: one-time fixed costs and recurring fixed costs. One-time fixed costs represent resources that are purchased outright such as purchase of materials and equipment. Recurring fixed costs represent costs that are fixed for short time periods (e.g., a month) but recur over these time periods. Examples of recurring fixed costs are monthly payments of equipment leases, rent, annual fees paid to vendors or annual subscription prices paid to publishers.

7.4 LIBRARY SYSTEM SERVICE OUTPUT MEASURES

7.4.1 Quantities of Output

Quantities of output of services are measures of the number of transactions or items provided. Such quantities include, for example, number of searches performed, number of items cataloged, number of hours of consulting time, and so on. Whatever quantities of output are measured, they should correspond as closely as possible to input costs in terms of time period and service attributes.

7.4.2 Quality

Quality is a generic output measure which describes the grade or "goodness" of Library System services. Quality is measured less frequently for services than other output measures such as timeliness. Furthermore, it is difficult to identify and measure quality attributes for many services. Examples of quality measures include relevance of search outputs, accuracy of cataloging, or level of excellence of activities. Even these measures must be carefully defined and sometimes cannot be measured directly, but rather by assigning scale values (e.g., on a scale of 1 to 5).

7.4.3 Timeliness

Most services involve an elapsed time between ordering and receiving the output of a service. The elapsed time can be measured in hours or days. For some services (e.g., online database searching, interlibrary borrowing, etc.) it is useful to establish a required period of time and measure the difference between elapsed time and required time. For example, a member library (or its patron) may require search results in three days (e.g., to prepare a report or term paper). If the elapsed response time is four days the difference is one day. Another patron may require the results in five days. If the elapsed response time is four days this patron will be much happier than the patron who required the response in three days.

7.4.4 Availability

Principal measures of availability are number of hours of service (e.g., number of hours of service per day or per week), number of person hours of service (e.g., number of hours service is open or operating times number of persons providing the service during those hours), willingness of Library Systems or CL to accept the cost of long distance telephone or by providing incoming WATS or 800 numbers, having books on the shelf of a CL, and so on.

7.4.5 Accessibility

One measure of accessibility is distance to the service (e.g., Central Library). Distance can be measured in miles or in terms of surrogate measure such as time (e.g., minutes). Accessibility is particularly a concern with collections, equipment, etc.

7.5 LIBRARY SYSTEM EFFECTIVENESS MEASURES

7.5.1 Satisfaction and Importance

How well Library System services satisfy member library needs and requirements determine to a large degree the extent to which services should continue to be used. Member library needs describe the types of services needed such as reference, technical processing, consulting, etc. Requirements are desired levels of output measures of services such as quality, timeliness, etc. It is sometimes difficult for member libraries to express satisfaction with how well services meet their needs and requirements, but they can quite easily rate their satisfaction on numeric scales. For example, member libraries can rate satisfaction with timeliness of response of a reference search as follows:

Very Dissatisfied	Dissatisfied	Neither Satisfied Nor Dissatisfied	Satisfied	Very Satisfied
1	2	3	4	5

One can measure level of satisfaction as the proportion of member libraries that rate satisfaction at the five levels for example as follows:

Rating	Proportion of Ratings
1	0.10
2	0.20
3	0.25
4	0.25
5	0.20

Or satisfaction can be measured by an average satisfaction rating calculated as follows:

Average satisfaction rating = sum of rating times corresponding proportion

(1x0.10+2x0.20+3x0.25+4x0.25+5x0.20)

= 3.25

Satisfaction probably should be measured in the context of either specific needs or specific requirements. For example, one should measure satisfaction with reference response time or with relevance of response. We have found it useful to measure satisfaction with services in two ways: overall satisfaction with a service (in the manner done on the member library survey) and satisfaction with specific requirements by rating satisfaction with a specific incidence of service use. The latter measure can be achieved by sending a form with the response to a request (e.g., reference) or when books are processed.

Another measure related to satisfaction is the importance of needs or requirements. High satisfaction with low importance with timeliness has significantly different meaning (at least in terms of repeated use) from high satisfaction with high importance. Importance of services can also be measured with rating scales as was done on the member library survey.

7.5.2 Amount of Use

The amount of use of a Library System or any of its services can be measured in several ways. For example, workshops can be measured in terms of number of workshops, number of days of workshops or number of attendees. Frequency or amount of use of services, of course, may correspond directly to service output quantities.

7.5.3 Purpose of Use

Referring back to Figure 1, the ultimate mission of Library Systems is to better serve the citizens of the State through services to member libraries and sometimes directly. Services are used for many purposes, each of which has some implication for the consequences or value resulting from use of member libraries. One relevant categorization of purpose of use is as follows:

- **Personal needs** including to: satisfy recreational and leisure time activities, cope with day-to-day problems, keep informed, deal with life's traumas, etc.

- **Educational needs** including school-related or otherwise.
- **Work-related needs**

These purposes relate partially, but not exclusively, to the three types of Library Systems. It might be necessary to establish more in-depth purposes of use from patrons.

7.6 LIBRARY SYSTEM SERVICE DOMAIN MEASURES

7.6.1 Members

The number of member libraries served by Library Systems is an important domain measure. The member libraries can also be measured in terms of their attributes such as type of library (i.e., principal types of patrons), size of library (e.g., number of patrons, budget, etc.), and so on.

7.6.2 Geographic Area

The principal measure of geographic area is square miles. Attributes related to geographic area which are of interest to Library Systems include degree of urbanization, existence of physical barriers, transportation, and so on.

7.6.3 Population

Populations of interest to Library Systems can be described in a number of ways. However, the measure is always people whether citizens, students, faculty, employees, and so on.

7.7 INDICATORS DERIVED FROM LIBRARY SYSTEM MEASURES

7.7.1 Indicators of Operational Performance

Indicators of operational performance involve relationships between input costs and output performance. Useful indicators of Library System operational performance are:

- Productivity
- Cost per output
- Cost by attribute levels
- Productivity by attribute levels.

For example, for indicators of the operational performance might be $36 per online search, $8.20 per item loaned, etc. Other examples involving resources might be $20 per FTE for staff, $20 per net usable square foot of space, and so on. We have attempted to identify factors that are related to average costs such as upstate vs. downstate, etc. These factors are discussed in Appendix C.

Average cost per level of quality, availability and accessibility are indicators of what it costs to achieve these levels. Thus, if actions are anticipated or taken to change the levels, Library System management will roughly know effects on costs. The same is true in relating productivity to attribute levels. Note that these relationships must be made through specific incidences of service provision (see Manual of Performance Indicators for Public Libraries cited earlier in this section).

7.7.2 Indicators of Effectiveness

Indicators of effectiveness show the consequences of the resources' input cost and output performance. Effectiveness indicators include:

- Member library (or other user) satisfaction (with the service or its quality, timeliness, availability, accessibility, etc.)
- Turnover rate such as the amount the service is used compared with amount produced
- Amount of use by attribute levels
- Satisfaction by attribute levels
- Amount of use by satisfaction levels
- Amount of use by importance levels.

Repeated use by some types of member libraries is also an indicator of effectiveness. Poor service (in quality or timeliness) can (and should) lead to use of alternative services; thus, repeated use of some services is an indicator that member libraries are sufficiently satisfied to continue using them.

7.7.3 Indicators of Cost-Effectiveness

It is possible to derive many indicators from relationships between input and effectiveness, output and effectiveness, and operational performance and effectiveness. Generally, the following derived indicators might be found to be useful:

- Cost per use or unit provided
- Cost per member library (total member libraries, using member libraries)
- Cost per capita (total population, user population, users)
- Average cost per level of satisfaction - in order to determine what it costs to achieve various levels of user satisfaction.

Other extremely important indicators are (1) the total demand for services (i.e., how much services are used from the Library System and other sources) and (2) the costs of using alternative sources. In the latter case, the relationship can be shown by the differences in costs to Library Systems and to alternative sources.

7.7.4 Indicators of Impact

Impact indicators include:

- Number of member library users as proportion of all member libraries
- Amount of use per capita (number of member libraries, population, etc.)

- Needs fill rate (i.e., number of needs filled divided by number of needs identified).

The latter indicator is very useful to determine service potential. The number of needs identified can be determined from member library surveys (see Recommendation M4).

SECTION 8

STATE-LEVEL RESPONSIBILITY

8.1 THE ROLE OF LIBRARY SYSTEMS AND LIBRARIES IN LIFELONG LEARNING

There is widespread concern throughout the library community that the State Education Department (SED) does not fully appreciate the essential role of libraries in an educational context. As a consequence many think that DLD is not in a position to exert the leadership and high level exposure necessary. Some have suggested that SED is not the appropriate home for DLD. An issue that surfaced during the study concerns where the State level of responsibility for Library Systems should reside. The current responsibility is with the SED, although suggestions have been made by a few persons to shift the responsibility to the Legislative Branch or within the Executive Branch to some other department.

We strongly agree with the U.S. Department of Education **Alliance for Excellence** assertion that "the alliance of home, school, and library are essential to our attainment of excellence in education and a Learning Society." Formal education must prepare every citizen for a lifetime of learning. For example, in a professional context, newly created and published knowledge doubles about every 15 to 17 years. All of the knowledge recorded throughout the history of mankind up until 1970 has now more than doubled and will do so again by about the turn of the century. The implication of this is that when students graduate from college, they are exposed to less than one sixth of the knowledge that will be created during the course of their careers. Thus, education must prepare professionals to learn to learn in order for them to succeed. This means that they must know how to find and gain access to needed knowledge, be able to assimilate and evaluate it, and use it wisely.

King Research's and other studies clearly show that professionals who read more and use libraries more in their work are more productive (determined by six indicators of productivity) and perform their work with greater quality and timeliness. Furthermore, by every measure of achievement that we could identify, we found that achievers read more than

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non-achievers. Libraries are an essential ingredient in the lifetime of learning and the earlier children learn to use this resource well the more effective they will be in their formal education as well as throughout their careers. The same is true with other aspects of learning, whether it be in coping with day to day problems, developing one's vocational career, cultural heritage or for hobbies, recreation or leisure-time activities. Libraries are essential to every aspect of quality of life. Because of the general educational role of libraries of all types, we believe that the State responsibility for libraries and Library Systems should continue in the State Education Department.

Recommendation SL1

The State responsibility for Library Systems should remain with SED and DLD.

Recommendation SL2

The DLD and BSLMP of the Office of Elementary and Secondary Education should continue their intradepartmental cooperative program for supporting School Library Systems.

Recommendation SL3

Renewed effort should be made to educate SED, legislators, school administrators and faculty, and the non-school library community on the importance of libraries to lifelong learning in school settings, academic institutions, communities and work places.

8.2 SUMMARY OF FINDINGS AND CONCLUSIONS CONCERNING STATE-LEVEL RESPONSIBILITY

8.2.1 Enhancing Economic and Performance Advantages of Library Systems

Across all services now provided by Library Systems in the State, we estimate that savings achieved by member libraries through the use of Library Systems funded by the State are at least 3.5 times greater than the State's investment, at least for services in which we can make such an analysis. We believe that the State has a proper role in providing such economic leverage through investment in Library Systems. Furthermore, without such leverage it is very clear that many citizens, professionals, and other users would simply go unserved, and many others would be served less well. For example, over one million citizens in New York would be left without direct library services in their local communities if the Library Systems did not exist.

Recommendation SL4

The DLD and library community should present the Regents and State Legislature with periodic evidence of savings achieved by Library Systems, that there are not better alternatives and that necessary gaps in services are being filled by them.

Recommendation SL5

A goal and recurring theme of those who support Library Systems should be the enhancement of access to all publicly owned collections by all citizens, and to private collections when arrangements can be equitably made.

Recommendation SL6

Regional Consultants should spend more time on site in the regions and there needs to be more time available for consulting.

Recommendation SL7

DLD should consider having a unit designated as a Library Systems unit or office in order to ensure proper accountability.

8.2.2 Ensuring that Laws and Regulations Are Carried Out

There are instances where the letter of the Law and Regulations do not appear to be fully carried out. Examples include the requirements for:

- updating the plans of service
- provision of free direct access to residents of the PLS area by all member libraries unless the resident:
    - lives in a jurisdiction of 10,000 population or higher which does not maintain or contract for public library service
    - is a delinquent borrower

or if the loans of specific nonprint materials and equipment or printed materials less than one year old would result in serious inequities and hardships to the member library borrowers

- PLS provision of union catalogs.

These requirements are clearly stated in the Law and Regulations and should be considered as minimum requirements. Library Systems should be required to demonstrate their compliance with the Law and Regulations.

Recommendation SL8

The DLD should exert more control in ensuring that Laws and Regulations are fully implemented.

8.2.3 Measurement Responsibility of the Division of Library Development

In achieving an equitable and relevant balance between local autonomy and State responsibility for accountability, DLD should require that adequate data (e.g., service costs, quantities, average costs, etc.) be provided to them. These data, fed back in aggregated form, can be used by Library System directors and their Boards to monitor, diagnose and make valid decisions concerning their operations and services. These data can also be used to monitor and make Statewide decisions concerning funding levels, service gaps, etc. Perhaps most important of all, the data can clearly demonstrate economies of scale and the amount of savings achieved through investments in Library Systems.

DLD should be concerned not only with the performance of Library Systems, but also with its own performance. While considerable statistical data are kept by DLD staff on various of their activities, they are mostly quantitative in nature. DLD staff annually provide and review performance objectives. There is believed to be some room for improving them and making them more specific. Additional attention should be paid to specific outputs of work and to the quality and timeliness of these outputs.

Finally, we believe that additional staff training is needed in some specialties such as technology, statistics, economics, etc. Thus, continuing education is particularly important.

Recommendation SL9

DLD should develop standards for Library System performance in the next two years.

Recommendation SL10

There should be more technical assistance, interaction, facilitation, leadership and guidance from DLD. This will facilitate establishing accountability of Library Systems.

Recommendation SL11

DLD should streamline and automate paperwork.

Recommendation SL12

DLD should develop improved productivity and performance measures for itself.

Recommendation SL13

DLD should budget and be funded for achieving recommended State-level responsibilities.

APPENDIX A

LIBRARY SYSTEMS INCLUDED IN STUDY

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LIBRARY SYSTEMS INCLUDED IN STUDY

Reference and Research Library Resources Systems

Capital District Library Council for Reference and Research Resources
Central New York Library Resources Council
Long Island Library Resources Council, Inc.
New York Metropolitan Reference and Research Library Agency, Inc. (Metro)
North Country Reference and Research Resources Council
Rochester Regional Research Library Council
South Central Research Library Council
Southeastern New York Library Resources Council
Western New York Library Resources Council

Public Library Systems

Buffalo & Erie County Public Library
Chautauqua-Cattaraugus Library System
Chemung-Southern Tier Library System
Clinton-Essex-Franklin Library System
Finger Lakes Library System
Four County Library System
Livingston/Wyoming Library System
Mid-Hudson Library System
Mid-York Library System
Mohawk Valley Library Association
Monroe County Library System
Nassau Library System
Nioga Library System
North Country Library System
Onondaga County Public Library
Ramapo Catskill Library System
Southern Adirondack Library System
Suffolk Cooperative Library System
Upper Hudson Library Federation
Wayne/Ontario Library System
Westchester Library System

School Library Systems

Albany-Schoharie-Schenectady BOCES School Library System
Broome-Delaware-Tioga BOCES School Library System
Buffalo City School Library System
Cattaraugus-Allegany-Erie-Wyoming BOCES School Library System
Cayuga-Onondaga BOCES School Library System
Clinton-Essex-Warren BOCES School Library System
Delaware-Chenango-Madison-Otsego BOCES School Library System
Dutchess School Library System
Erie 1 BOCES School Library System
Erie 2-Chautauqua-Cattaraugus
Franklin-Essex-Hamilton BOCES School Library System
Genessee-Wyoming BOCES School Library System
Hamilton-Fulton-Montgomery BOCES School Library System
Herkimer-Fulton-Hamilton-Otsego BOCES School Library System
Jefferson-Lewis-Hamilton-Herkimer-Oneida BOCES School Library System
Livington-Steuben-Wyoming BOCES School Library System
Madison-Oneida BOCES School Library System
Monroe 1 BOCES School Library System
Monroe 2-Orleans BOCES School Library System
Nassau School Library System
New York City School Library System
Oneida County School Library System
Onondaga-Cortland-Madison BOCES School Library System
Orange-Ulser BOCES School Library System
Orleans-Niagara BOCES School Library System
Oswego County School Library System
Otsego-Northern Catskills BOCES School Library System
Putnam-Northern Westchester BOCES School Library System
Rensselaer-Columbia-Greene BOCES School Library System
Rochester City School Library System
Rockland County School Library System
St. Lawrence-Lewis BOCES School Library System
Saratoga-Warren County BOCES School Library System
Schuyler-Chemung-Tioga BOCES School Library System
Southern Westchester BOCES School Library System
Steuben-Allegany BOCES School Library System
Suffolk 1 BOCES School Library System
Suffolk 2 BOCES School Library System
Suffolk 3 BOCES School Library System
Sullivan BOCES School Library System
Syracuse City School Library System
Tompkins-Seneca-Tioga BOCES School Library System
Ulster County BOCES School Library System
Washington-Warren-Hamilton-Essex BOCES School Library System
Wayne-Finger Lakes BOCES School Library System
Yonkers City School Library System

Central Libraries

Adriance Memorial Library
Albany Public Library
Brooklyn Public Library*
Broome County Public Library
Buffalo and Erie County Public Library
Crandall Library
Mid-Manhattan Library*
Mount Vernon Public Library
Newburgh Free Library
Onondaga County Public Library
Niagara Falls Public Library
Patchogue-Medford Library
Plattsburgh Public Library
Queens Borough Public Library*
Rochester Public Library
Schenectady County Public Library
Tompkins County Public Library
Utica Public Library

Co-Central Libraries

Corning Public Library
East Meadow Public Library
James Prendergast Free Library
Levittown Public Library
Ogdensburg Public Library
Olean Public Library
Roswell P. Flower Memorial Library
Steele Memorial Library of Chemung County

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* Interviewed staff only.

APPENDIX B

GLOSSARY OF TERMS

GLOSSARY OF TERMS

ACQUISITIONS OR ORDERING. Those activities related to systems used for obtaining library materials (books, periodicals, equipment and other materials), through purchase, exchange, or gift; includes preorder bibliographic searching, ordering and receiving materials, processing invoices, and the maintenance of the necessary records related to acquisitions.

ADMINISTRATION OF GRANT PROGRAMS. Grants may be used to develop system headquarter's resources or may be administered for or in conjunction with member libraries.

BOCES. Boards of Cooperative Educational Services.

BSLMP. Bureau of School Library Media Programs.

CATALOG PRODUCTION. The process of producing catalog cards, tape, microfiche, microfilm, etc.

CATALOGING. Includes those activities performed by staff of headquarters, Central Libraries and/or library system members, or other outside personnel, in preparation of bibliographic records for a catalog.

COLLECTION DEVELOPMENT. This activity is done for specific library members. Encompasses those activities which relate to or impact on the development of library collections of the library system member, including determining selection policy, assessment of user needs, collection evaluation, selection of materials, etc. It includes providing pre-selected "buying lists".

CONSERVATION/PRESERVATION. The activities associated with maintaining library and archival materials for use, either in their original physical form, or in some other useable way. Includes the use of chemical and physical procedures for preservation, binding and rebinding procedures, preservation microfilming, etc.

CONSULTANT SERVICES. Indicates consultation performed by library system or member library staff or external consultants to support member libraries.

COOPERATIVE COLLECTION DEVELOPMENT. Same as collection development, except the activity is done for cooperative collections among member libraries. For example, certain libraries might emphasize collections in subject areas to be shared by all member libraries.

COOPERATIVE PURCHASING. This activity represents agreements used to purchase goods and maintenance services which are "mass" purchased, leased or rented through written agreements, usually for discounted rates, shared by the library system and its members. This includes the purchase of books, periodicals, microforms, audiovisual materials utilized by library system and members, or both. It also includes all shared equipment such as projectors, fiche readers, and reproduction and computer equipment, in addition to administrative and library supplies, which contribute to library system functions.

CIRCULATION CONTROL. The service/activity of lending, which includes those activities connected with charging or discharging items and maintaining records borrowed from the library system member or headquarters collection. In a library system environment, it includes the use of shared computer-based circulation systems, either shared by a cluster or member libraries with headquarters facilitation, or provided directly and entirely by headquarters to member libraries.

DELIVERY SERVICES. Items delivered or sent would include letters, delivery envelopes, packages, packets of materials (e.g., printed book-marks), and so on. Includes: (a) all staff personnel based at headquarters or library system member libraries who deliver materials to headquarters and/or its members in support of library system activities and administration on a regular basis; (b) all delivery services, such as professional courier companies and airline couriers that support Library System business. Include delivery services which are cooperatively purchased between members and members or between members and headquarters.

DLD. Division of Library Development.

INTERLIBRARY LOAN. A transaction in which headquarters or a member library lends an item, or photocopy of an item, to another cooperating member. Activities also include acting as a clearinghouse for interlibrary loan requests, using computer information data bases to locate the information requested, and referring interlibrary loan requests from one library to another.

INTERLIBRARY LOAN REQUEST. Involves the process of requesting an interlibrary loan and receiving the request to determine its disposition. It may involve a form (e.g., ALA form) or the request could be transmitted by an electronic medium. Request processing would include the actual preparation of a request by a borrower (including input to electronic medium) and handling the request up to the point that its disposition is determined (e.g., to fulfill in library, refer to another source, or refer back to borrowing library). It does not include processing the material being loaned or the process of verifying or of locating the material for referral to that location. Activities might include acting as a clearinghouse for interlibrary loan requests, using computer information data bases to locate the information requested, and referring interlibrary loan requests from one library to another.

JOB INFORMATION. Includes information concerning jobs available, jobs wanted or information about the job market in general. It could include counseling on how to fill out job applications, prepare for job interviews, etc. Information deals with the labor market in general but could include library jobs as well.

LOCATING NEEDED MATERIAL. This activity involves searching to verify and/or locate an item to be borrowed or loaned. The activity might be done by the borrowing library or referred to another source such as a Library System to be done on behalf of the borrowing library. External sources or systems might be employed such as NYSILL, a Library System-wide union catalog (e.g., COMCAT), OCLC, or a designated system clearinghouse.

MANUAL SEARCHING. This would include manual searching through printed indexes or other reference materials.

MATERIALS EXAMINATION. This includes the examination of all new acquisitions of books, audiovisual materials (films, slides, sound tapes, and records), microfiche, and other information/reference materials for possible inclusion in the library system holdings or for sharing by member libraries.

NYSILL. New York State Interlibrary Loan Network.

ONLINE BIBLIOGRAPHIC SEARCHING. Includes access to online bibliographic databases (such as Medline, Compendex, LEXIS, CA, etc.), and online access to catalogs through an external system such as OCLC or through a network-installed or network-developed system. Does not include searching for the purpose of interlibrary loan (ILL).

ONLINE OTHER DATABASE SEARCHING. Includes access to numeric databases (such as ARBITRON, CENSUS, AIRES, BI/DATA, etc.) or other databases available externally through vendors, database producers, or by other means.

OUTREACH. Outreach services would include services that are specifically targeted to meet the needs of such groups as the illiterate, persons with impairments, the aging, etc.

PHYSICAL PROCESSING. The activities carried out by headquarters, Central Libraries, a member library, processing center, or others, to prepare items for use. For example, physical processing of books includes jacketing, affixing labels and pockets, ownership marking, etc.

PUBLIC RELATIONS. Activities and materials used to promote library systems, member libraries, or libraries in general. Publicity might be achieved through posters or signs, newspaper articles, radio or television.

RECORDKEEPING FOR MEMBER LIBRARIES. Includes maintaining payroll, statistical and financial records necessary to support management functions and decisionmaking of member libraries.

REFERENCE/INFORMATION AND REFERRAL SERVICE. Includes manual preparation or verification of bibliographic citations, or both, responding to information requests, accessing computer information databases for reference purposes, and allocating responsibility for reference services.

REFERRAL SEARCHING SERVICES. Includes manual or computer searching of lists, files, directories or special-purpose databases used for referral of patrons to resources, such as special collections, consultants, equipment, etc. Also includes development of files, directories, or databases used in referral.

RESEARCH ANALYSIS. This includes search results or other research that requires interpretation or analysis of secondary information sources. Research analysis usually implies that results are reported in written form.

RETROSPECTIVE CONVERSION. Conversion of bibliographic information into machine-readable form so that automated systems can be used to perform library functions such as circulation, public access catalogs, etc.

SCHOOL LIBRARY SYSTEM MEMBER. Members of School Library Systems are school districts or non-public schools. The school libraries themselves are participants not members.

SCHOOL LIBRARY SYSTEM PARTICIPANT. Participants in School Library Systems are school libraries within members of School Library Systems. The members are school districts or non-public schools

SED. State Education Department.

SHARED OR COOPERATIVE OPERATIONAL ACTIVITIES. These activities are those performed by Library System headquarters, Central Library, member libraries, or other organizations for the benefit of member libraries. The activities are often provided to member libraries because of special staff competencies or equipment, or because member libraries do not have sufficient volume to justify performing activities by themselves.

UNION LIST/CATALOG PRODUCTION. The process of compiling and providing union catalogs and/or lists of library holdings; includes lists of monographs, non-print media (e.g., computer tapes, audio-visual materials, etc.), and serials (e.g., journals, newspapers, magazines, etc.).

APPENDIX C

DETAILED DATA AND INFORMATION CONCERNING LIBRARY SYSTEM SERVICES

APPENDIX C

DETAILED DATA AND INFORMATION CONCERNING LIBRARY SYSTEM SERVICES

C.1 Introduction

In this appendix we provide summaries of data and information concerning individual services provided by Library Systems. The services are grouped into those involving interlibrary lending and borrowing; interlibrary loan support mechanisms; access to other shared collections; reference, referral and research; performance of library operational functions; direct services to users; support of library development; enhancement of interlibrary cooperation; and member library participation. This appendix is subdivided by these groups of services. Data summarized here come from (1) the member library survey which obtained information about amount of services used from specific types of Library Systems and other sources, the importance of these services and satisfaction with the services, (2) Library System and Central Library surveys which provided data on amount of services provided by Library Systems, cost of these services, and, therefore, average cost per transaction, and (3) other sources of data. Details concerning analysis and survey methods are given in Sections 2.2 and 2.3, respectively. A detailed example is given in Section 2.2 for a service described in the appendix.

Within each service the following summary data are reported:

- Who provides the services and to whom.
- Service input and output data.
- Importance of and satisfaction with services.
- Costs and factors that affect cost of service.
  - economies of scale
  - automation
  - upstate vs. downstate

- Factors related to funding formulas.
    - population
    - area
    - density

These data are reported for each service.

In this appendix we address services that are provided by the 76 Library Systems in New York State. All told we identified 117 individual services provided by one or more of the three types of Library Systems. We grouped some of them to form 60 services that are described in this section. In order to simplify presentation further, we have grouped the 60 services into several categories in the following way:

(1) Interlibrary Lending and Borrowing. Included in this group of services are all of the processes associated with processing ILL requests for referral or fulfillment, searching for bibliographic verification and location of potential lending libraries, and actual fulfillment of ILL requests.

(2) Interlibrary Loan Support Mechanisms. Library systems have devoted substantial resources to helping develop union lists and providing delivery services. Retrospective conversion of local library holdings is well underway. Of course, interlibrary loan support is only one of several ways in which bibliographic databases might be used, but they are currently mostly used for this purpose. The same is true for system delivery services. These services are used for delivery of a large number of items, yet they serve as the backbone for interlibrary loan.

(3) Access to Other Shared Collections. Library systems provide additional access to shared library materials through rotating and pool collections, bookmobiles and reading stations operated by Library Systems.

(4) Reference, Referral and Research. Library systems support member libraries by providing backup for difficult reference, referral and research requests. For example, sometimes member libraries do not have terminals for conducting online bibliographic searches. Central libraries, as another example, have built strong reference collections that could be widely duplicated only at great expense. Thus, the central libraries can serve as valuable resource when needs arise.

(5) Performance of Library Operational Functions. Library systems actually perform many library activities for the libraries. For the most part this is because the systems can do the work less expensively than most of the individual libraries because of the economies of scale that can be achieved by a centralized center. Examples of such activities performed on behalf of individual libraries include acquisitions, cataloging, physical processing, and so on. In these instances, the Library Systems perform all or at least most of the work for their member libraries.

(6) Direct Services to Users. In many instance, such as outreach, Library Systems provide direct services to users. Examples of such services include books by mail, services to users in nursing homes and job information services. Sometimes these services employ the facilities of member libraries. Because these services tend to be direct and affect special types of users, the funding is largely through categorical grants.

(7) Support of Library Development. Library systems provide backup consulting services in such areas as youth services, audiovisual, automation, library management, etc. They also support continuing education for member library staff (and trustees) through workshops, special programs and shared professional collections. Finally, they help member libraries prepare and administer grants.

(8) Enhancement of Interlibrary Cooperation. Libraries in New York State engage in a number of other cooperative programs that are supported and sometimes administered by Library Systems. Examples of such programs include cooperative collection development, direct access to member collections and communications among member libraries through electronic and other means.

Detailed descriptions of the magnitudes and costs of these services are included in this appendix. Finally, economic analyses are performed to develop a set of recommendations regarding these services.

In reviewing the descriptions and analysis below, it may be useful to have some background information concerning the data that are quoted. Data were collected largely by two means: a census survey of Library Systems and a sample survey of member libraries. Services were defined in comparable ways for both surveys. Library Systems were asked to identify amounts of services provided to member libraries and the costs (labor, other direct, and contract) of these services. This provided a basis for computing total service costs and costs per unit or transaction of the service. Two components of the Library System costs that were provided separately were fringe benefits (i.e., vacation, sick leave, holidays, pension, insurance, etc.) and overhead administration (i.e., administering "pass-through" funds, facilities, time devoted to paperwork, etc.). Fringe benefits were added to direct labor costs and overhead and administration costs were allocated to all (non-contract) direct costs (i.e., labor plus fringe benefits, other variable, and fixed). Library Systems and Central Libraries were given the opportunity of attending two workshops to describe how the data should be collected or derived and reported.

Member libraries were asked to identify the amounts of services used and the sources of the services (e.g., Public Library System, Central Library, RRLRS, School Library System, or other system library or service). Thus, we have a basis for estimating the extent to which each Library System contributes to the overall service received by member libraries. Note that member libraries do not always know the actual source of request fulfillment. For example, a request may be submitted to a Library System that, in turn, refers the request elsewhere. The member library may indicate that it received the service from the Library System to which it sent the original request. We also asked member libraries to rate the level of importance of services to them and to their patrons. The rating was on a scale of one (very unimportant) to five (very important). The member libraries were also asked to rate their satisfaction with services provided by each source. Ratings of satisfaction were given on a scale of one (very dissatified) to five (very satisfied). Average ratings for each service are presented for both importance and satisfaction. Finally, amount of services provided by member to other libraries or the system libraries is given.

Each service below is defined using the definitions provided on the two survey questionnaires, or their attachments when appropriate. Also the total amount of services provided by Library Systems and their costs are estimated. Note that Library Systems were asked to report only amount of services (and costs) provided by System headquarters and not by member libraries or Central Libraries, since estimates of such additional service provision are made from other sources. We mention that amounts of services and their costs are estimated because sometimes Library Systems indicated that they provided services, but reported only the amounts of services or costs (or in rare instances neither). Thus, even though we received questionnaires from all the Library Systems we had to impute for questionnaire item non-responses. Basically, this was done by using averages computed from responses. For example, if a Library System reported amount of services, but not costs we took the average cost per service unit (within that type of System) and multiplied that cost times the number of service units reported. The reverse was done for instances in which cost was reported but not the units of service. If neither were reported, we merely imputed the average number of units and the average costs found for that type of Library System.

Part of the economic analysis of Library System services is performed to provide Library Systems and their members with evidence that will help them to assess their services and decide to either provide them differently, reduce costs or improve services, to seek alternative sources for the services. To do this we provide data concerning factors that affect or are related to cost such as economies of scale, automation, and upstate vs. downstate Library Systems. Also, we provide data by factors that are used in funding formula such as number of persons in population and size of area served.

Some of the services, for example, clearly demonstrate economies of scale. Thus, if the amount of services provided by some Library Systems is not up to the critical mass, or if the average cost to provide a service appears for some other reason to be relatively high compared with other Library Systems, the Library Systems and their members should explore the possibility of alternatives. For this purpose, average costs are provided when they appear to be appropriate.

C.2 Interlibrary Lending and Borrowing

There is a substantial amount of interlibrary lending in New York State and a major study of this activity was performed and reported in 1987. Library Systems support interlibrary lending by providing a centralized resource for processing requests, performing searches for bibliographic verification and for locating potential lending libraries, and referring requests to these libraries. In some instances, Library

Systems lend materials from their own collections and actually borrow materials for headquarters use and outreach services that they provide. In order to develop a common basis for determining the extent and cost of Library System (headquarters) involvement in interlibrary lending, as well as the extent to which member libraries use Library Systems for interlibrary lending and their levels of satisfaction with interlibrary loan, we defined interlibrary loan services as follows:

- Interlibrary loan request processing (service 1.1). Involves the process of requesting an interlibrary loan and receiving the request to determine its disposition. It may involve a form (e.g., ALA form) or the request could be transmitted by an electronic medium. Request processing would include the actual preparation of a request by a borrower (including input to electronic medium) and handling the request up to the point that its disposition is determined (e.g., to fulfill in library, refer to another source, or refer back to borrowing library). It does not include processing the material being loaned or the process of verifying or of locating the material for referral to that location. Activities might include acting as a clearinghouse for interlibrary loan requests, using computer information data bases to locate the information requested, and referring interlibrary loan requests from one library to another.

- Verifying and locating needed materials (services 3.1-3.5). This activity involves searching to verify and/or locate an item to be borrowed or loaned. The activity might be done by the borrowing library or referred to another source such as a Library System to be done on behalf of the borrowing library. External sources or systems might be employed such as NYSILL, a Library System-wide union catalog (e.g., COMCAT), OCLC, or a designated system clearinghouse.

- Interlibrary loan of materials (services 1.2, 2.1, 2.2, 2.3). A transaction in which a Library System headquarters, Central Library or member library lends an item, or distributes a photocopy of an item, to another cooperating member or library.

Each of these three types of interlibrary loan services is discussed below.

C.2.1 Interlibrary Loan Request Processing (service 1.1).

	Type of Library System			
	PLS	RRLRS	SLS	Total
WHO PROVIDES SERVICES TO WHOM				
No. of Library Systems That Provide Service (1)				
Current	20	9	46	75
Planned	0	0	0	0
Headquarters	20	8	46	75
No. of Member Libraries (2)				
Total members	731	655	3,207	4,593
Members that use	731	422	2,083	-
Cross-system type use (3)	591	274	56	-
Total that use	1,322	696	2,139	-
Amount of Service Use (000 requests) (2)				
Members	621	203	152	976
Cross-system type (3)	9	13	3	25
Total	630	216	155	1,001
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4,5)				
Amount (000) - I	678	113	128	919
- C	72			72
Cost ($000) - I	904	329	405	1,637
- C	167	84		251
Average Cost ($) - I	1.33	2.91	3.15	1.78
- C	2.32			3.49

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(1) Library System survey: does not include one PLS that did not respond.
(2) Reported in member library survey (weighted estimates).
(3) No. of libraries that use services from Library Systems in which they are not members.
(4) Reported by Library Systems (with imputed data).
(5) The upper values refer to services provided in-house (I) and the lower values to contract (C) when applicable.

The quantity of services provided by Central Libraries is estimated to be 189,000 requests at a cost of $353,000 or an average cost of $1.87 per request. The median is $1.46 per request.

Member libraries also indicate they use other sources for about 420,000 requests. Members of RRLRS dominate the overall use of other sources. For example, they use RLIN and OCLC to request point-to-point to other academic and special libraries in and out of the State.

The PLS do over two-thirds of interlibrary loan requests processing filled by Library System headquarters. They also average doing many more than the other types of Library Systems, which may account for the discrepancy in average costs among the three types of Library Systems. However, the different types of Library Systems perform different functions on the requests, which may also contribute to the difference in average costs.

Member libraries use their own systems for this service, both in terms of number of libraries that use Library Systems for this service and the number of requests made. For example, 98 percent of requests (which are processed by Library Systems) from public library members go to public Library Systems or Central Libraries; 94 percent of requests for academic, research and special libraries go to RRLRS; and 98 percent of request by school libraries go to School Library Systems.

IMPORTANCE OF AND SATISFACTION WITH SERVICE

Average Importance of Service		Sample Size n
PLS members	4.84	146
RRLRS members	4.79	63
SLS members	4.74	92
Overall	4.77	301

Average Satisfaction Ratings of Service		Sample Size n
PLS	4.45	148
CL	4.26	31
RRLRS	4.38	77
SLS	4.59	97
Other	4.34	67

Quartile	Range of Average Satisfaction Ratings
Low 25%	<4.00
Mid-low 25%	4.01 - 4.50
Mid-high 25%	4.51 - 4.75
High 25%	>4.75

Median Satisfaction Rating	
PLS	4.58
RRLRS	4.38
SLS	4.50

COSTS AND FACTORS THAT AFFECT COST OF SERVICE

Quartiles

The quartiles of average cost per unit of the service are as follows:

Quartile	Range of Average Costs
High cost 25%	>$3.40
Mid-high cost 25%	$1.56 - $3.40
Mid-low cost 25%	$0.80 - $1.56
Low cost 25%	<$0.80

The median cost per request is $1.56. That is, one-half of the Library Systems provide the service at less than $1.56 and one-half above that amount.

Median Average Costs	
PLS	$0.89
RRLRS	$1.56
SLS	$2.30

Economies of Scale

There are clearly economies of scale operating with this service. For example, the average and median costs at different levels of activity are as follows:

No. of Requests Processed	Average Cost ($)	Median Cost ($)
Under 1,000	$6.48	$7.13
1,000 - 2,500	3.47	2.27
2,500 - 5,000	1.67	1.60
5,000 - 15,000	0.90	0.63
15,000 - 20,000	1.32	0.98
Over 20,000	1.30	0.94

It appears that a Library System should have over 10,000 requests processed annually or about $1.50 per request to achieve a "critical mass." The number of Library Systems with quantities below the "critical mass" (i.e., fewer requests processed) is no PLS, 3 RRLRS, and 30 SLS. If all Systems had their member libraries direct requests to Systems that have a volume of activity over the "critical mass," there would be a potential savings of about $1.6 million.

Automation

The number of Library Systems that use automation for interlibrary lending are: 13 - PLS, 9 - RRLRS, 23 - SLS.

Average costs are:

Automated	$1.57 per request
Non-automated	$1.86 per request

Upstate vs. downstate

PLS - upstate ($0.98), downstate (Unknown)

FACTORS THAT ARE RELATED TO FUNDING FORMULAS

Population	Avg. Cost/Unit	Avg. Cost/ Factor Unit
<300K	$1.21	$0.15/capita
300-500K	0.77	0.05/capita
500K-1M	0.40	0.09/capita
>1M	0.88	0.06/capita
Area		
<1K	$0.12	$14/square miles
1-2K	1.11	23/square miles
2-3K	1.93	17/square miles
3-4K	0.74	12/square miles
>4K	0.54	4/square miles
Density		
<75 persons/sq.mi.	$0.37	
75-100	1.17	
100-200	1.54	
200-1,000	0.78	
>1,000	0.12	

C.2.2 Verifying and Locating Needed Materials (services 3.1-3.5).

		Type of Library System			
		PLS	RRLRS	SLS	Total
WHO PROVIDES SERVICES TO WHOM					
No. of Library Systems That Provide Service (1)					
Current		19	9	39	67
Planned		0	0	0	0
Headquarters		18	9	39	67
No. of Member Libraries (2)					
Total members		731	655	3,207	4,593
Members that use		337	210	1,344	-
Cross-system type use (3)		158	28	0	-
Total that use		495	238	1,344	-
Amount of Service Use (000 requests) (2)					
Members		1,118	124	288	1,530
Cross-system type (3)		13	5	0	18
Total		1,131	129	288	1,548
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4,5)					
Amount (000)	- I	831	173	67	1,070
	- C		3		3
Cost ($000)	- I	616	238	280	1,133
	- C	167	132		146
Average Cost ($) (6)		0.74	1.38	4.18	1.06

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(1) Library System survey: does not include one PLS that did not respond.

(2) Reported in member library survey (weighted estimates).

(3) No. of libraries that use services from Library Systems in which they are not members.

(4) Reported by Library Systems (with imputed data).

(5) The upper values refer to services provided in-house (I) and the lower values to contract (C) when applicable.

(6) One RRLRS indicated that a contract was to perform all ILL-related activities. It was not possible to allocate the amount to specific services.

The quantity of services provided by Central Libraries is estimated to be 151,000 requests at a cost of $214,000 or an average cost of $1.42 per request. The median is $4.95 per request.

This service appears to be somewhat different when viewed from the perspective of member libraries. They can perform these searches themselves using System-provided System-wide union catalogs, electronic databases or dial access to library holdings data. Otherwise they can refer or forward a request to Library Systems. The member libraries had about 870,000 searches performed on System-wide union catalogs provided by:

- Public Library Systems - 540,000 from members and 2,500 from others
- RRLRS - 67,000 from members and 200 from others
- School Library Systems - 260,000 from members and 1,500 from others.

Electronic databases from Library Systems are used less frequently by member libraries, 205,000 times in total. By source, the use of electronic databases is as follows:

- Public Library Systems - 147,000 from members and 7,800 from others.
- RRLRS - 36,000 from members.
- School Library Systems - 3,900 from members and 200 from others.

For some searches member libraries refer or forward requests to Library Systems. This is estimated to happen about 300,000 times, again mostly to their own Library System as follows:

- Public Library Systems - 247,000 from members and 700 from others
- RRLRS - 20,000 from members and 4,600 from others
- School Library Systems - 24,000 from members and 1,400 from others.

IMPORTANCE OF AND SATISFACTION WITH SERVICE

	Union Cat	Elect. DB	Dial Access	Forward/ Refer to LS
Importance of service				
PLS members	4.87	4.42	4.96	4.82
RRLRS members	4.84	4.57	4.57	4.50
SLS members	4.76	4.32	4.30	4.63
Overall	4.79	4.40	4.48	4.71
Satisfaction with service				
PLS	4.25	4.28	4.64	4.31
CL	3.86	3.19	3.33	4.13
RRLRS	3.48	3.96	-	3.94
SLS	4.43	4.52	3.74	4.37
Other	4.14	4.11	5.00	4.20

Generally, union catalogs provided by Library Systems and the ability to forward or refer requests to verify or locate needed materials are considered very important to member libraries.

Satisfaction with Library Systems to which requests are forwarded or referred is generally highest with PLS and SLS and less with RRLRS and Central Libraries. The same appears to hold for union catalogs provided by the Library Systems as well.

COSTS AND FACTORS THAT AFFECT COST OF SERVICE

Quartiles

The quartiles of average cost per unit of the service are as follows:

Quartile	Range of Average Costs
High cost 25%	>$2.90
Mid-high cost 25%	$1.22 - $2.90
Mid-low cost 25%	$0.55 - $1.22
Low cost 25%	<$0.55

The median cost per search is $1.22.

	Median Average Costs
PLS	$0.42
RRLRS	$0.93
SLS	$2.38

Economies of scale

Again, economies of scale appear to affect the average costs of searching.

No. of Searches Performed	Average Cost ($)	Median Cost ($)
Under 500	$80.41	$11.51
500 - 1,000	8.95	2.86
1,000 - 2,500	1.99	1.56
2,500 - 10,000	0.85	0.66
10,000 - 25,000	0.91	0.89
Over 25,000	0.50	0.38

The critical mass appears to be at about 10,000 searches or a little below $1.00 per search. Only one PLS appears to be operating with quantities below the "critical mass" with no RRLRS and 27 SLS below that amount.

Automation

The average costs are:

Automated	$1.34
Non-automated	$0.67

Upstate vs. downstate

PLS - upstate ($0.42), downstate ($0.48)
SLS - upstate ($2.67), downstate ($7.55)

FACTORS THAT ARE RELATED TO FUNDING FORMULAS

Population	Avg. Cost/Unit	Avg. Cost/ Factor Unit
<300K	$0.42	$0.055
300-500K	0.72	0.031
500K-1M	0.29	0.025
>1M	0.48	0.041

Area	
<1K sq. miles	$0.48
1-2K	0.47
2-3K	0.36
3-4K	0.63
>4K	0.40

Density	
<75 persons/sq.mi.	$0.30
75-100	0.83
100-200	0.36
200-1,000	0.54
>1,000	0.48

C.2.3 Interlibrary Loan of Materials (services 1.2.1, 1.2.2, 2.1, 2.2, 2.3).

	Type of Library System			
	PLS	RRLRS	SLS	Total
WHO PROVIDES SERVICES TO WHOM				
No. of Library Systems That Provide Service (1)				
Current	19	9	44	72
Planned	0	0	1	1
Headquarters	19	9	44	72
No. of Member Libraries (2)				
Total members	731	655	3,207	4,593
Members that use	638	466	2,167	-
Cross-system type use (3)	848	359	45	-
Total that use	1,486	825	2,167	-
Amount of Service Use (000 books, articles) (2)				
Members	665	233	332	1,230
Cross-system type (3)	23	24	7	54
Total	688	257	339	1,284
Amount of Service Use (000 equipment) (2)				
Members	50	5	26	81
Cross-system type (3)	6	0	0	6
Total	56	5	26	87
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4)				
Amount (000)	489	55	50	594
Cost ($000)	843	189	138	1,170
Average Cost ($)	1.73	3.42	2.73	1.97

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(1) Library System survey: does not include one PLS that did not respond.
(2) Reported in member library survey (weighted estimates).
(3) No. of libraries that use services from Library Systems in which they are not members.
(4) Reported by Library Systems (with imputed data).

The quantity of services provided by Central Libraries is estimated to be 158,000 requests at a cost of $283,000 or an average cost of $1.79 per request. The median is $1.56 per request.

Member libraries report that they borrowed 1.8 million items, about 1.4 million of which they indicated Library Systems as the source. (Again, it is not known whether the Library System source is a member library or headquarters). Nearly all items are borrowed from the members or headquarters of their own type of Library System. Of the 1.4 million items borrowed about 90,000 are equipment items.

Of the 740,00 items borrowed from the PLS, 96% come from PLS members. Of the 262,000 items borrowed from the RRLRS, 89 percent come from RRLRS members and the 365,000 items borrowed from the SLS, 98 percent are from SLS members.

Library Systems lend equipment to member libraries. Such loans may be temporary loans that are returned in a specified time period or permanent (or semi-permanent) loans. The number of such loans is about 3,100 equipment items by the following sources:

- Public Library Systems - 2,400 equipment items
- RRLRS - 165 equipment items
- School Library Systems - 520 equipment items

The costs associated with these loans are approximately as follows:

- Public Library Systems - $110,000 or about $50 per item loaned
- RRLRS - $50,000 or about $300 per item loaned
- School Library Systems - $70,000 or $140 per item loaned

Those who receive the service consider it important (4.30 average rating) and there is no indication of dissatisfaction with the service.

Library System headquarters also borrow items for headquarters use and their outreach services. The estimated total number of items borrowed by Library System headquarters is 79,700 items as follows:

- Public Library Systems - 41,500 items borrowed
- RRLRS - 18,400 items borrowed
- School Library Systems - 19,800 items borrowed

The total cost of this borrowing activity comes to $360,000 which breaks down as follows:

- Public Library Systems - $220,000 or $5.30 per item borrowed
- RRLRS - $22,000 or $1.20 per item borrowed
- School Library Systems - $118,000 or $5.96 per item borrowed

Public Library Systems borrow over one-half the total items borrowed by Library Systems, but RRLRS report a much lower per item cost for this activity.

The quantity of services provided by CL is estimated to be 10,000 requests at a cost of $24,000 or an average cost of $2.34 per request. The median is $2.00 per request.

IMPORTANCE OF AND SATISFACTION WITH SERVICE

	Books	Journals	Other
Importance of Service			
PLS members	4.93	4.66	4.68
RRLRS members	4.78	4.84	4.67
SLS members	4.67	4.63	4.72
Overall	4.74	4.66	4.70
Satisfaction with Service			
PLS	4.42	4.34	4.38
CL	4.37	4.30	4.22
RRLRS	4.16	4.19	4.43
SLS	4.61	4.77	4.70
Other	4.31	4.45	4.09

Ability to borrow materials from Library Systems is found to be important to member libraries, regardless of type of materials borrowed.

Overall satisfaction is high for all types of Systems, although higher for SLS than the other types of Systems.

COSTS AND FACTORS THAT AFFECT COST OF SERVICE

Quartiles

The quartiles of average cost per item loaned are as follows:

Quartile	Range of Average Costs
High cost 25%	>$3.90
Mid-high cost 25%	$1.51 - $3.90
Mid-low cost 25%	$0.87 - $1.51
Low cost 25%	<$0.87

The median cost per item loaned is $1.51.

Economies of Scale

There is a much lesser indication of economies of scale than for some of the services, although about one-half of the Library Systems are above and below about 1,000 items loaned. The average cost per item loaned breaks down as follows:

No. of Items Loaned	Average Cost ($)	Median Cost ($)
Less than 1,000	$5.80	$3.46
1,000 and over	1.29	0.87

All told, the number of Library Systems with quantities below the "critical mass" are 2 PLS, 1 RRLRS, and 18 SLS.

Automation

See interlibrary loan request processing.

Upstate vs. Downstate

PLS -- no data
SLS -- no data

FACTORS THAT ARE RELATED TO FUNDING FORMULAS

Population	Avg. Cost/Unit Lending	Avg. Cost/Unit Borrowing	Avg. Cost/Unit Factors Lending
<300K	$1.46	$7.82	$0.081
300-500K	0.61	-	0.025
500K-1M	8.75	-	0.013
>1M	0.67	2.50	0.030
Area			
<1K square miles	-	-	
1-2K	$1.09	$2.50	
2-3K	0.54	-	
3-4K	-	-	
>4K	1.45	$2.82	
Density			
<75 person/sq.mi.	$1.45	$2.82	
75-100	-	-	
100-200	2.61	-	
200-1,000	0.65	2.50	
>1,000	-	-	

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C.2.4 Summary of Interlibrary Loan Activities

There are three levels of interlibrary loan services provided by the 76 Library Systems in New York State:

- processing requests for referral or fulfillment,
- processing requests and performing bibliographic verification and location of potential lending libraries, and
- processing requests, bibliographic verification and locating lending libraries, and actually handing or fulfilling loan requests and delivery.

The average costs of performing these three levels of interlibrary loan are estimated to be as follows:

	Type of Library System		
Level	PLS	RRLRS	SLS
Processing	$1.33	$2.91	$ 3.15
Plus verification and location	2.07	4.29	7.33
Plus fulfillment and delivery*	4.06	8.75	10.37

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* Average delivery costs are added here, even though discussed later.

Analogous costs observed elsewhere (i.e., from non-New York sources) suggest that the Public Library System costs are on the low side and the other Systems on the high side. Of course, costs vary by type of material, complexity of request and other factors so that direct comparisons are not altogether meaningful. However, the costs and economic analysis should provide evidence to help Library Systems and their members examine their services.

Elsewhere, we have estimated that it would cost member libraries substantially more than the current cost to the Library System, if no interlibrary loan system were available. This additional cost would be in the range of $6 to $8 per loan, plus additional costs to patrons and others. Furthermore, many items simply would not be obtained, if there was no ILL system in New York State. Thus, with 1.3 million loans the value of the interlibrary loan system in New York State is in the order of magnitude of $9 million.

C.3 Interlibrary Loan Support

Library Systems have gone a long way in providing support mechanisms for interlibrary loan. In particularly the three mechanisms are:

- Union list/catalog production (service 4.9). The process of compiling and providing union catalogs and/or lists of library holdings; includes lists of monographs, non-print media (e.g., computer tapes, audio-visual materials, etc.), and serials (e.g., journals, newspapers, magazines, etc.).
- Retrospective conversion (service 4.7). Conversion of bibliographic information into machine-readable form so that automated systems can be used to perform library functions such as circulation, public access catalogs, etc.
- Delivery. Items delivered or sent would include letters, delivery envelopes, packages, packets of materials (e.g., printed book-marks), and so on. Includes: (a) all staff personnel based at headquarters or Library System member libraries who deliver materials to headquarters and/or its members in support of Library System activities and administration on a regular basis; (b) all delivery services, such as professional courier companies and airline couriers that support Library System business; and (c) system vans, etc. Included are delivery services which are cooperatively purchased between members and members or between members and headquarters.

These services are discussed in detail below.

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C.3.1 Union List/Catalog Production (service 4.9)

	Type of Library System			
	PLS	RRLRS	SLS	Total
WHO PROVIDES SERVICES TO WHOM				
No. of Library Systems That Provide Service (1)				
Current	12	9	43	64
Planned	1	0	1	2
Headquarters	12	9	43	64
No. of Member Libraries (2)				
Total members	731	655	3,207	4,593
Members that use	287	239	-	-
Cross-system type use (3)	12	35	-	-
Total that use	299	239	-	-
Amount of Service Use (copies of lists) (2)				
Members	7,600	5,100	-	12,700
Cross-system type (3)	6	100	-	106
Total	7,606	5,200	-	12,806
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4,5)				
Amount - I	34,000	10,400	5,400	49,800
- C	600	400	400	1,400
Cost ($000) - I	289	319	193	801
- C	230	301	24	555
Average Cost ($) - I	8.50	31.00	36.00	16.00
- C	3.80	700	58	396

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(1) Library System survey: does not include one PLS that did not respond.
(2) Reported in member library survey (weighted estimates).
(3) No. of libraries that use services from Library Systems in which they are not members.
(4) Reported by Library Systems (with imputed data).
(5) The upper values refer to services provided in-house (I) and the lower values to contract (C) when applicable.

We believe that there is some difficulty defining units (i.e., copies of lists) and the activities that are actually involved, so that comparison of averages is not too meaningful.

IMPORTANCE OF AND SATISFACTION WITH SERVICE

Average Importance of Service		Sample Size n
PLS members	4.56	75
RRLRS members	4.51	35
SLS members	4.64	-
Overall	4.54	110

Average Satisfaction Ratings of Service		Sample Size n
PLS	3.64	63
CL	3.43	6
RRLRS	4.10	44
SLS	3.59	5
Other	4.05	10

Quartile	Range of Average Satisfaction Ratings
Low 25%	<3.00
Mid-low 25%	3.00 - 4.00
Mid-high 25%	4.01 - 4.50
High 25%	>4.50

Median Satisfaction Rating	
PLS	3.63
RRLRS	4.39
SLS	-

Union list (or catalog) production is not as important as other interlibrary loan services.

Satisfaction with this service is low for every type of Library System except RRLRS and other systems.

COSTS AND FACTORS THAT AFFECT COST OF SERVICE

Quartiles

The quartiles of this service are as follows:

Quartile	Range of Average Costs
High cost 25%	>$100
Mid-high cost 25%	$35 - $100
Mid-low cost 25%	$10 - $ 35
Low cost 25%	<$10

The median cost per copy produced is $35.

	Median Average Costs
PLS	$640
RRLRS	$ 90
SLS	$ 26

One of the reasons that we believe definition of the quartiles is a problem is that the estimated number of copies reportedly received by member libraries is substantially lower than those reported by the Library Systems (14,000 copies vs 51,200). Furthermore, only Public Library System and RRLRS members reported on the survey receiving this service in the survey. Most of the copies reported came from RRLRS (6,500 reported by PLS members and 5,100 reported by RRLRS members).

Economies of Scale

There are some indications of economies of scale as follows:

No. of Copies Produced	Average Cost ($)	Median Cost ($)
Less than 50	$890	$42
50 - 100	190	44
100 - 220	29	26
Over 220	45	13

The "critical mass" appears to be at about 100-150 copies or about $100 per copy. The number of Library Systems with quantities below the "critical mass" are 4 PLS, 2 RRLRS and 8 SLS.

Automation

Automated	$18 per copy
Non-automated	$210 per copy

Upstate vs. Downstate

PLS -- no data

SLS -- upstate ($24.60), downstate ($28.20)

FACTORS THAT ARE RELATED TO FUNDING FORMULAS

Population	Avg. Cost/Unit	Avg. Cost/ Factor Unit
<300K	$ 14	$0.074
300-500K	3	0.058
500K-1M	-	0.124
>1M	-	0.153

Area

<1K square miles	$ 328
1-2K	16,500
2-3K	1,270
3-4K	5,900
>4K	14

Density

<75 persons/sq.mi.	$ 14
75-100	-
100-200	10,500
200-1,000	4
>1,000	328

C.3.2 Retrospective Conversion (service 4.7)

	Type of Library System			
	PLS	RRLRS	SLS	Total
WHO PROVIDES SERVICES TO WHOM				
No. of Library Systems That Provide Service (1)				
Current	19	8	44	71
Planned	0	0	0	0
Headquarters	19	9	44	71
No. of Member Libraries (2)				
Total members	731	655	3,207	4,593
Members that use	122	76	712	-
Cross-system type use (3)	0	0	0	-
Total that use	122	76	712	-
Amount of Service Use (000 items converted) (2)				
Members	1,970	377	2,584	4,931
Cross-system type (3)	0	0	0	0
Total	1,970	377	2,584	4,931
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4,5)				
Amount (000) - I	914	301	524	1,748
- C	113	670	238	1,021
Cost ($000) - I	511	144	644	1,299
- C	131	429	164	724
Average Cost ($) - I	0.56	0.47	1.23	0.74
- C	1.16	0.64	0.67	0.71

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(1) Library System survey: does not include one PLS that did not respond.
(2) Reported in member library survey (weighted estimates).
(3) No. of libraries that use services from Library Systems in which they are not members.
(4) Reported by Library Systems (with imputed data).
(5) The upper values refer to services provided in-house (I) and the lower values to contract (C) when applicable.

We do not know why there is a discrepency in the number of items reported by member libraries and Library Systems, although several Library Systems reported all items converted since beginning not just items converted in the last year. Many of those reported data were corrected by us, but if member libraries made the same mistake the data will reflect it.

Of the Library Systems reporting the number of Library Systems contracting out are: 2 PLS, 3 RRLRS and 9 SLS.

In no instance did member libraries report receiving this service from any Library System other than the one to which they are members. There were 727,000 items reported to be provided by other sources.

Retrospective conversion is performed to provide a bibliographic database that can be used for a number of purposes, including union lists of materials when shared by member libraries. We certainly agree with the need for this service and its potential for supporting integrated library automation systems that can be used by individual libraries or through central facilities provided by Library Systems. The bibliographic databases can also be provided in an offline format through microform or CD-ROM.

IMPORTANCE OF AND SATISFACTION WITH SERVICE

Average Importance of Service		Sample Size n
PLS members	4.80	27
RRLRS members	4.59	14
SLS members	4.77	40
Overall	4.76	81

Average Satisfaction Ratings of Service		Sample Size n
PLS	4.04	27
CL	-	1
RRLRS	4.53	9
SLS	4.49	38
Other	3.93	8

The service is particularly important to PLS and SLS members, although also to RRLRS members as well.

PLS members are less satisfied on the average with the service then members of the other types of Library Systems. Other sources of the service are also considered less satisfactory.

Quartile	Range of Average Satisfaction Ratings
Low 25%	<3.50
Mid-low 25%	3.50 - 4.25
Mid-high 25%	4.26 - 4.75
High 25%	>4.50

Median Satisfaction Rating	
PLS	4.25
RRLRS	-
SLS	-

COSTS AND FACTORS THAT AFFECT COST OF SERVICE

Quartiles

The quartiles of this service are as follows:

Quartile	Range of Average Costs
High cost 25%	>$1.30
Mid-high cost 25%	$0.90 - $1.30
Mid-low cost 25%	$0.58 - $0.90
Low cost 25%	<$0.58

The median cost per title is $0.90.

Median Average Costs	
PLS	$1.09
RRLRS	$0.75
SLS	$0.83

Economies of Scale

Economies of scale clearly are achieved when the titles are converted in-house:

No. of Titles Converted	Average Cost ($)	Median Cost ($)
Less than 7,500	$3.50	$3.90
7,500 - 15,000	1.20	1.10
15,000 -22,500	0.90	1.00
Over 22,500	0.40	0.40

We believe that Library Systems that have fewer than about 20,000 titles to be converted should give serious thought to contracting out, particularly if the work can be done less expensively by another Library System or an outside vendor.

The number of Library Systems operating with quantities below the "critical mass" are 4 PLS, 1 RRLRS and 7 SLS.

Automation

Not applicable.

Upstate vs. Downstate

PLS -- upstate ($0.42), downstate ($0.71)
SLS -- upstate ($0.84), downstate ($2.94)

FACTORS THAT ARE RELATED TO FUNDING FORMULAS

Population	Avg. Cost/Unit	Avg. Cost/ Factor Unit
<300K	$1.81	$0.073
300-500K	1.19	0.036
500K-1M	0.88	0.066
>1M	0.17	0.028

This factor may be related to average cost.

Area	
<1K square miles	$1.16
1-2K	0.56
2-3K	0.88
3-4K	0.96
>4K	1.32

Density	
<75 persons/sq.mi.	$1.34
75-100	1.17
100-200	2.70
200-1,000	0.49
>1,000	1.16

C.3.3 Delivery (services 4.14.1 - 4.14.6)

There are several means by which Library Systems provide delivery support to member libraries. In addition to mail services, the Library Systems have in-system courier services using vans, trucks, etc., (BOCES and Big City delivery services for school libraries) and telefacsimile (although telefacsimile is almost non-existent at present). All of the data below refer to in-system delivery services (4.14.2).

	Type of Library System PLS	 RRLRS	 SLS	 Total
WHO PROVIDES SERVICES TO WHOM				
No. of Library Systems That Provide Service (1)				
Current	20	7	20	47
Planned	0	0	0	0
Headquarters	20	7	20	47
No. of Member Libraries (2)				
Total members	731	655	3,207	4,593
Members that use	521	205	12	-
Cross-system type use (3)	26	4	0	-
Total that use	547	209	12	-
Amount of Service Use (million items delivered) (2)				
Members	1.598	0.074	0.191	1.863
Cross-system type (3)	0.016	0	0	0.016
Total	1.614	0.074	0.191	1.879
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4,5)				
Amount (millions) - I	5.1	0.03	0.068	5.2
- C	2.1	0.448	0.241	2.8
Cost ($ millions) - I	1.8	0.082	0.086	1.9
- C	0.11	0.413	0.007	0.53
Average Cost ($) - I	0.35	2.74	0.28	0.37
- C	0.05	0.92	-	-

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(1) Library System survey: does not include one PLS that did not respond.

(2) Reported in member library survey (weighted estimates).

(3) No. of libraries that use services from Library Systems in which they are not members.

(4) Reported by Library Systems (with imputed data).

(5) The upper values refer to services provided in-house (I) and the lower values to contract (C) when applicable.

SLS sometimes arrange deliveries to member libraries by school buses. SLS contract amounts are items delivered by BOCES and Big City School Districts and occasional contracts.

It is not known why the amounts reported by Library Systems vary so much with estimated amounts reported by member libraries, although the member libraries simply may not know these quantities.

There is little multitype delivery taking place.

IMPORTANCE OF AND SATISFACTION WITH SERVICE

Average Importance of Service		Sample Size n
PLS members	4.88	115
RRLRS members	4.60	38
SLS members	4.81	-
Overall	4.80	143

Average Satisfaction Ratings of Service		Sample Size n
PLS	4.41	111
CL	4.06	8
RRLRS	4.15	28
SLS	5.00	2
Other	4.90	5

Quartile	Range of Average Satisfaction Ratings
Low 25%	<4.17
Mid-low 25%	4.17 - 4.50
Mid-high 25%	4.50 - 4.75
High 25%	>4.75

Median Satisfaction Rating	
PLS	4.45
RRLRS	4.78
SLS	-

The importance of this service is considered very high by member libraries.

Satisfaction with delivery by all Library Systems is rated high, although Central Libraries lower than the other Library Systems.

COSTS AND FACTORS THAT AFFECT COST OF SERVICE

Quartiles

The quartiles of cost of system delivery are as follows:

Quartile	Range of Average Costs
High cost 25%	>$2.56
Mid-high cost 25%	$0.55 - $2.56
Mid-low cost 25%	$0.28 - $0.55
Low cost 25%	<$0.28

The median cost is $0.55 per item delivered.

	Median Average Costs
PLS	$0.36
RRLRS	$2.56
SLS	$0.25

Economies of Scale

There is some indication of economies of scale of system delivery as follows:

No. of Items Delivered	Average Cost ($)	Median Cost ($)
Less than 10,000	$6.10	$3.89
10,000 - 100,000	1.61	1.46
100,000 - 1 million	0.33	0.28
Over 1 million	0.07	0.07

The "critical mass" appears to be at about 100,000 items delivered and a cost of about $0.25. The number of Library Systems with quantities below this amount is 6 PLS and 3 RRLRS.

Automation

Not applicable.

Upstate vs. Downstate

PLS -- upstate ($0.30), downstate ($0.15)

FACTORS THAT ARE RELATED TO FUNDING FORMULAS

Population	Avg. Cost/Unit	Avg. Cost/ Factor Unit
<300K	$0.24	$0.084
300-500K	0.12	0.110
500K-1M	0.61	0.173
>1M	0.21	0.105

Area	
<1K square miles	$0.15
1-2K	1.37
2-3K	0.47
3-4K	0.07
>4K	0.20

Density	
<75 person/sq. mile	$0.13
75-100	0.33
100-200	0.14
200-1,000	0.94
>1,000	0.15

C.4 Access to Other Shared Library Collections

This class of services includes rotating and pool collections, bookmobiles operated by Library Systems, and other mechanisms for direct access to collections. These services are described as follows:

- Rotating collections (service 1.3). These are collections provided by Library Systems that periodically rotate from library to library in the system.

- Pool collections (service 1.4). These are shared collections that are permanently maintained by Library System headquarters or elsewhere from which loans can be made.

- Bookmobiles and reading stations (service 1.5). These are facilities provided and manned by Library Systems which serve otherwise unserved areas.

These services are provided by Public Library Systems.

There are estimated about 1,900 rotating collections totalling approximately 86,000 items. The total cost of these rotating collections is about $170,000 or $90 per collection, or approximately $2.00 per item. An estimated 436 public libraries indicate they receive these rotating collections from Public Library Systems and Central Libraries. A few libraries reported that they receive such collections from other Library Systems and other sources. The cost per library is about $380. The receiving libraries indicate that the service is important to them (4.05 average importance rating). However, they are only moderately satisfied with the service (4.09 average satisfaction rating for Public Library Systems and 3.91 for Central Libraries). Altogether this service accounts for about 0.3 percent of Public Library Systems' in-house budgets and 0.2 percent of their total budgets.

More funds are expended for pool collections, about $625,000 altogether. These funds involve 780,000 items, of which 7,000 are provided under contract to an unknown source. The average cost per item is $0.81 in-house and $0.72 under contract. About 340 member libraries are estimated to receive the service from Public Library Systems or Central Libraries, at an average cost to Library Systems of $2,300 per library. Member libraries consider this service more important than rotating collections (4.38 average importance rating vs. 4.05) and they are much more satisfied with it than with rotating collections, (4.31 average satisfaction rating for Public Library Systems and 4.55 for Central Libraries).

Bookmobiles and reading stations provided in otherwise unserved areas account for a much higher Public Library System budget (than the other two means of access described above) at $1.9 million. This service accounts for an estimated circulation of 708,000 or about $2.70 per item circulated in this manner. The median cost is $1.50 per item. Looked at in another way, there are 13,700 total hours of service provided by this means at $175 per hour. Altogether the Public Library Systems reported 98 reading stations provided by them.

Together these three means of access account for 5.9 percent of Public Library Systems' in-house budgets and 5.1 percent of their overall budgets. On average, the cost effectiveness of the services seem appropriate; however, rotating collections probably should be investigated to identify the cause of dissatisfaction of some member libraries.

C.5 Performance of Library Operational Functions

One of the principal functions of Public Library Systems, and to a lesser degree RRLRS, is to provide centralized services to perform functions on behalf of member libraries. For the most part, these functions are those in which centralized facilities (i.e., Library Systems) can perform them less expensively than member libraries (particularly small ones) because of economies of scale. Smaller libraries, therefore, would have to perform the services at greater expense or alternatively do without the service. Some individual member libraries are large enough to achieve the economies of scale themselves, but are provided the services free of charge by their system. In effect they are being provided the services by the State rather than being funded directly, in order that smaller libraries can be served at a substantially lower cost than if they were also funded directly. Thus, by providing central services the State is achieving appreciable leverage on its funds.

The following Library System services fall into this group of services:

(1) Circulation control (service 4.1). The service/activity of lending, which includes those activities connected with charging or discharging items and maintaining records borrowed from the Library System member or headquarters collection. In a Library System environment, it includes the use of shared computer-based circulation systems, either shared by a cluster of member libraries with headquarters facilitation, or provided directly and entirely by headquarters to member libraries.

(2) Collection development (service 4.2). This activity is done for specific member libraries. Encompasses those activities which relate to or impact on the development of library collections of the Library System member, including determining selection policy, assessment of user needs, collection evaluation, selection of materials, etc. It includes providing pre-selected "buying lists" and a weeding as well.

(3) Acquisitions or ordering (service 4.4). Those activities related to Systems used for obtaining library materials (books, periodicals, equipment and other materials), through purchase, exchange, or gift; includes preorder bibliographic searching, ordering and receiving materials, processing invoices, and the maintenance of the necessary records related to acquisitions.

(4) Cooperative purchasing (service 4.5). This activity represents agreements used to purchase goods and maintenance services which are "mass" purchased, leased or rented through written agreements, usually at discounted rates, shared by the Library System and its members. This includes the purchase of books, periodicals, microforms, audiovisual materials utilized by Library System and members, or both. It also includes all shared equipment such as projectors, fiche readers, and reproduction and computer equipment, in addition to administrative and library supplies.

(5) Cataloging (service 4.6). Includes those activities performed by staff of headquarters, Central Libraries and/or Library System members, or other outside personnel, in preparation of bibliographic records for a catalog.

Catalog production (service 4.8). The process of producing catalog cards, tape, microfiche, microfilm, etc.

(6) Physical processing (service 4.10). The activities carried out by headquarters, Central Libraries, a member library, processing center, or others, to prepare items for use. For example, physical processing of books includes jacketing, affixing labels and pockets, ownership marking, etc.

(7) Conservation/preservation (service 4.11). The activities associated with maintaining library and archival materials for use, either in their original physical form, or in some other useable way. Includes the use of chemical and physical procedures for preservation, binding and rebinding procedures, preservation microfilming, etc. Generally, Library Sytems are engaged in grant administration for this service.

(8) Materials examination (service 4.13). This includes the examination of all new acquisitions of books, audiovisual materials (films, slides, sound tapes, and records), microfiche, and other information/reference materials for possible inclusion in the Library System holdings.

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(9) Recordkeeping for member libraries (service 4.15). Includes maintaining payroll, statistical and financial records necessary to support management functions and decision-making of member libraries.

(10) Public relations (service 4.17). Activities and materials used to promote Library Systems, member libraries, or libraries in general. Publicity might be achieved through posters or signs, newspaper articles, radio or television.

Much of the service provision by Library Systems substitutes entirely for the work which would otherwise have to be done by member libraries.

C.5.1 Circulation Control (service 4.1)

Only Public Library Systems reported that they provide circulation control (mostly automated) for member libraries. In fact only 12 Public Library Systems reported providing this service, and 172 member libraries are estimated to receive it directly and 38 through contact. The total number of items circulated through these systems is estimated to be about 28 million (of which 5.6 million involve contracting).

		Type of Library System PLS	RRLRS	SLS	Total
WHO PROVIDES SERVICES TO WHOM					
No. of Library Systems That Provide Service (1)					
Current		12	0	0	12
Planned		1	0	0	1
Headquarters		12	0	0	2
No. of Member Libraries (2)					
Total members		731	655	3,207	4,593
Members that use		132	0	0	-
Cross-system type use (3)		0	0	0	-
Total that use		132	0	0	-
Amount of Service Use (million items) (2)					
Members		7.2	0	0	7.2
Cross-system type (3)		0	0	0	0
Total		7.2	0	0	7.2
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4,5)					
Amount (millions)	- I	22.5			
	- C	5.6			
Cost ($ millions)	- I	0.682			
	- C	0.156			
Average Cost ($)	- I	0.030			
	- C	0.028			

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(1) Library System survey: does not include one PLS that did not respond.
(2) Reported in member library survey (weighted estimates).
(3) No. of libraries that use services from Library Systems in which they are not members.
(4) Reported by Library Systems (with imputed data).
(5) The upper values refer to services provided in-house (I) and the lower values to contract (C) when applicable.

IMPORTANCE OF AND SATISFACTION WITH SERVICE

Average Importance of Service		Sample Size n
PLS members	4.86	26

Average Satisfaction Ratings of Service		Sample Size n
PLS	3.97	24
CL	3.36	3

Quartile	Range of Average Satisfaction Ratings
Low 25%	<3.80
Mid-low 25%	3.80 - 4.33
Mid-high 25%	4.33 - 4.40
High 25%	>4.40

Even though the circulation control service is considered very important, the satisfaction rating is somewhat low.

Factors that Affect Cost of Service

Quartiles

The median cost for this service is $0.07 per item.

Economies of Scale

Not applicable with small number of members.

Automation

All services are automated.

Upstate vs. Downstate

PLS — upstate ($0.03), downstate ($0.01)

FACTORS THAT ARE RELATED TO FUNDING FORMULAS

Population	Avg. Cost/Unit	Avg. Cost/ Factor Unit
<300K	$0.21	$0.107
300-500K	0.04	0.031
500K-1M	0.03	0.025
>1M	0.01	0.041
Area		
<1K square miles	$0.01	
1-2K	0.02	
2-3K	-	
3-4K	0.01	
>4K	0.21	
Density		
<75 person/sq. mile	$0.21	
75-100	0.21	
100-200	0.01	
200-1,000	0.02	
>1,000	0.01	

C.5.2 Collection Development (service 4.2)

Both PLS and RRLRS provide this service to member libraries. A total of 17 PLS report providing this service for 814 libraries (including branches) and 5 RRLRS report them for 90 member libraries. (An estimated 289 PLS and 52 RRLRS member libraries report receiving this service.)

		Type of Library System			
		PLS	RRLRS	SLS	Total
WHO PROVIDES SERVICES TO WHOM					
No. of Library Systems That Provide Service (1)					
Current		20	5	0	25
Planned		1	0	0	1
Headquarters		18	5	0	23
No. of Member Libraries (2)					
Total members		731	655	3,207	4,593
Members that use		289	52	0	-
Cross-system type use (3)		0	0	0	-
Total that use		289	52	0	-
Amount of Service Use (libraries) (2)					
Members		289	74	0	363
Cross-system type (3)		0	0	0	0
Total		289	74	0	363
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4,5)					
Amount	- I	776	80	0	856
	- C	38	10	0	48
Cost ($000)	- I	316	42	0	358
	- C	50	67	0	117
Average Cost ($)	- I	410	520	0	420
	- C	1,300	6,700	0	2,400

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(1) Library System survey: does not include one PLS that did not respond.

(2) Reported in member library survey (weighted estimates).

(3) No. of libraries that use services from Library Systems in which they are not members.

(4) Reported by Library Systems (with imputed data).

(5) The upper values refer to services provided in-house (I) and the lower values to contract (C) when applicable.

In no instance did member libraries indicate that the service is provided by Library Systems other than their own. Some other sources are used by RRLRS members (22 of them).

One PLS and one RRLRS reported having a large contract for this service.

IMPORTANCE OF AND SATISFACTION WITH SERVICE

Average Importance of Service		Sample Size n
PLS members	4.53	48
RRLRS members	2.56	4
Overall	4.13	52

Average Satisfaction Ratings of Service		Sample Size n
PLS	3.94	42
CL	3.19	7
RRLRS	3.20	4
Other	4.00	1

Quartile	Range of Average Satisfaction Ratings
Low 25%	<3.17
Mid-low 25%	3.17 - 4.00
Mid-high 25%	4.00 - 4.25
High 25%	>4.25

Importance of this service is rated low by RRLRS members and these members also rated their satisfaction with the service low.

COSTS AND FACTORS THAT AFFECT COST OF SERVICE

Quartiles

The quartiles for this service are as follows:

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Quartile	Range of Average Costs
High cost 25%	>$620
Mid-high cost 25%	$265 - $620
Mid-low cost 25%	$ 77 - $265
Low cost 25%	<$ 77

Median Average Costs	
PLS	$219
RRLRS	$270
SLS	$ -

The median is $265 per library.

Economies of Scale

None found.

Automation

Not applicable.

FACTORS THAT ARE RELATED TO FUNDING FORMULAS

Population	Avg. Cost/ Unit*	Avg. Cost/ Factor Unit
<300K	$ 324	$0.035
300-500K	165	0.021
500K-1M	347	0.027
>1M	1,920	0.045
Area		
<1K square miles	$1,320	
1-2K	409	
2-3K	114	
3-4K	313	
>4K	257	

* Data reported by Library Systems. Only data in which both quantities and costs reported.

	Avg. Cost/ Unit*	Avg. Cost/ Factor Unit
Density		
<1 person/sq. mile	$1,320	
1-5	316	
5-10	173	
10-15	340	
>15	172	

C.5.3 Acquisitions and Ordering (service 4.4)

		Type of Library System			
		PLS	RRLRS	SLS	Total
WHO PROVIDES SERVICES TO WHOM					
No. of Library Systems That Provide Service (1)					
Current		19	6	0	25
Planned		0	0	0	0
Headquarters		19	6	0	25
No. of Member Libraries (2)					
Total members		731	655	3,207	4,593
Members that use		455	38	0	-
Cross-system type use (3)		0	0	0	-
Total that use		455	38	0	-
Amount of Service Use (000 items) (2)					
Members		812	2	0	814
Cross-system type (3)		0	0	0	0
Total		812	2	0	814
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4,5)					
Amount (000)	- I	699	5.4	0	704.4
	- C	55	0	0	55
Cost ($ millions)	- I	1.6	0.418	0	2.0
	- C	0.073	0	0	0.073
Average Cost ($)	- I	2.30	78	0	2.80
	- C	1.30	0	0	1.30

(1) Library System survey: does not include one PLS that did not respond.
(2) Reported in member library survey (weighted estimates).
(3) No. of libraries that use services from Library Systems in which they are not members.
(4) Reported by Library Systems (with imputed data).
(5) The upper values refer to services provided in-house (I) and the lower values to contract (C) when applicable.

The service is reported to be provided by other sources to PLS members (59,000 items) and RRLRS members (6,100 items).

There is no service to multitype libraries.

IMPORTANCE OF AND SATISFACTION WITH SERVICE

Average Importance of Service		Sample Size n
PLS members	4.71	109
RRLRS members	5.00	7
Overall	4.80	116

Average Satisfaction Ratings of Service		Sample Size n
PLS	4.04	101
CL	4.18	10
RRLRS	3.39	6
Other	4.07	5

Quartile	Range of Average Satisfaction Ratings
Low 25%	<3.75
Mid-low 25%	3.75 - 4.00
Mid-high 25%	4.00 - 4.60
High 25%	>4.60

Median Satisfaction Rating	
PLS	4.00
RRLRS	-

The service is very important to users.

Satisfaction with service appears low for RRLRS members.

COSTS AND FACTORS THAT AFFECT COST OF SERVICE

Quartiles

The quartiles for this service are as follows:

Quartile	Range of Average Costs
High cost 25%	>$29.00
Mid-high cost 25%	$3.60 - $29.00
Mid-low cost 25%	$1.00 - $ 3.60
Low cost 25%	<$1.00

The median cost is $3.60 per item acquired.

	Median Average Costs
PLS	$ 1.59
RRLRS	$46.88

Economies of Scale

The reasons for the differences in cost are not known, although economies of scale appear to be important. For example, the average cost per item above 10,000 items is $1.80 and below 10,000 the average cost is $24.

Automation

Automated	$1.26 per title
Non-automated	$8.88 per title

Upstate vs. Downstate

PLS - upstate ($2.12), downstate ($0.75)

FACTORS THAT ARE RELATED TO FUNDING FORMULAS

Population	Avg. Cost/ Unit*	Avg. Cost/ Factor Unit*
<300K	$2.75	$0.250
300-500K	0.66	0.058
500K-1M	2.08	0.080
>1M	1.13	0.097
Area		
<1K square miles	$0.80	
1-2K	2.82	
2-3K	0.76	
3-4K	0.54	
>4K	6.95	
Density		
<75 person/sq.mi.	$12.74	
75-100	1.29	
100-200	0.65	
200-1,000	2.42	
>1,000	0.83	

* Data reported by Library Systems. Only data in which both quantities and costs reported.

C.5.4 Cooperative Purchasing (service 4.5)

	Type of Library System			
	PLS	RRLRS	SLS	Total
WHO PROVIDES SERVICES TO WHOM				
No. of Library Systems That Provide Service (1)				
Current	15	4	0	19
Planned	0	0	0	0
Headquarters	15	4	0	19
No. of Member Libraries (2)				
Total members	731	655	3,207	4,593
Members that use	294	37	0	-
Cross-system type use (3)	0	0	0	-
Total that use	294	37	0	-
Amount of Service Use (000 orders) (2)				
Members	33	3	0	36
Cross-system type (3)	0	0	0	0
Total	33	3	0	36
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4)				
Amount (000)	416	0.46	0	416
Cost ($000)	6,800	64	0	6,900
Average Cost ($)	16	140	0	16

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(1) Library System survey: does not include one PLS that did not respond.
(2) Reported in member library survey (weighted estimates).
(3) No. of libraries that use services from Library Systems in which they are not members.
(4) Reported by Library Systems (with imputed data).

Library Systems reported results differently in that some included price of materials in reported data, others did not.

No multitype activity for this service.

IMPORTANCE OF AND SATISFACTION WITH SERVICE

Average Importance of Service		Sample Size n
PLS members	4.38	61
RRLRS members	4.57	2
Overall	4.40	63

Average Satisfaction Ratings of Service		Sample Size n
PLS	4.17	56
CL	3.67	4
RRLRS	4.57	2

Quartile	Range of Average Satisfaction Ratings
Low 25%	<3.67
Mid-low 25%	3.67 - 4.25
Mid-high 25%	4.25 - 5.00
High 25%	>5.00

COSTS AND FACTORS THAT AFFECT COST OF SERVICE

Quartiles

Median cost is $13.70.

Economies of Scale

Not applicable because of discrepancies in reporting.

Automation

Not applicable.

Upstate vs. Downstate

Not applicable because of discrepancies in reporting.

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C.5.5 Cataloging (service 4.6)

	Type of Library System			
	PLS	RRLRS	SLS	Total
WHO PROVIDES SERVICES TO WHOM				
No. of Library Systems That Provide Service (1)				
Current	20	8	0	28
Planned	0	0	0	0
Headquarters	20	8	0	28
No. of Member Libraries (2)				
Total members	731	655	3,207	4,593
Members that use	447	106	0	-
Cross-system type use (3)	0	0	0	-
Total that use	447	106	0	-
Amount of Service Use (000 titles) (2)				
Members	623	118	0	635
Cross-system type (3)	0	0	0	0
Total	623	118	0	635
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4,5)				
Amount (000) - I	166	6.2	0	172
- C	25	2.1	0	27
Cost ($000) - I	1,800	56.6	0	1,800
- C	181	3.8	0	185
Average Cost ($) - I	10.60	9.19	0	10.53
- C	7.17	1.85	0	6.85

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(1) Library System survey: does not include one PLS that did not respond.
(2) Reported in member library survey (weighted estimates).
(3) No. of libraries that use services from Library Systems in which they are not members.
(4) Reported by Library Systems (with imputed data).
(5) The upper values refer to services provided in-house (I) and the lower values to contract (C) when applicable.

Both RRLRS members and PLS members use other sources for this service (319,000 items and 29,000 items respectively).

No multitype activity reported.

IMPORTANCE OF AND SATISFACTION WITH SERVICE

Average Importance of Service		Sample Size n
PLS members	4.68	109
RRLRS members	4.87	11
Overall	4.72	120

Average Satisfaction Ratings of Service		Sample Size n
PLS	4.22	104
CL	3.74	7
RRLRS	4.66	11
Other	4.31	7

Quartile	Range of Average Satisfaction Ratings
Low 25%	<3.50
Mid-low 25%	3.50 - 4.25
Mid-high 25%	4.25 - 4.75
High 25%	>4.75

COSTS AND FACTORS THAT AFFECT COST OF SERVICE

Quartiles

The quartiles for this service are as follows:

Quartile	Range of Average Costs
High cost 25%	>$9.66
Mid-high cost 25%	$7.74 - $9.66
Mid-low cost 25%	$3.14 - $7.74
Low cost 25%	<$3.14

The median cost per item is $7.74.

Economies of Scale

There are some apparent economies of scale, but not dramatically so. The average and median costs of cataloging are different when considering the number being above or below 10,000 and about $4.50 per item cataloged.

	Avg. Cost ($)	Median Cost ($
Under 10,000 items	$13.61	$7.73
Over 10,000 items	$ 4.56	$3.97

There are 8 PLS and 3 RRLRS Library Systems with quantities below the break point given above.

Automation

All are automated.

Upstate vs. Downstate

PLS - upstate ($6.60), downstate ($7.64)

FACTORS THAT ARE RELATED TO FUNDING FORMULAS

Population	Avg. Cost/ Unit*	Avg. Cost/ Factor Unit
<300K	$ 8.72	$0.176
300-500K	2.24	0.106
500K-1M	8.34	0.116
>1M	15.16	0.113
Area		
<1K square miles	$ 8.23	
1-2K	7.16	
2-3K	20.99	
3-4K	3.22	
>4K	4.13	
Density		
<75 persons/sq.mi.	$ 5.77	
75-100	7.43	
100-200	2.12	
200-1,000	7.94	
>1,000	8.23	

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* Data reported by Library Systems. Only data in which both quantities and costs reported.

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C.5.6 Catalog Production (service 4.8)

		Type of Library System			
		PLS	RRLRS	SLS	Total
WHO PROVIDES SERVICES TO WHOM					
No. of Library Systems That Provide Service (1)					
Current		19	5	0	24
Planned		0	0	0	0
Headquarters		19	5	0	24
No. of Member Libraries (2)					
Total members		731	655	3,207	4,593
Members that use		338	60	711	-
Cross-system type use (3)		0	48	0	-
Total that use		338	108	711	-
Amount of Service Use (000 sets) (2)					
Members		528	238	47	8.13
Cross-system type (3)		0	0.1	0	0.1
Total		528	238	47	813
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4,5)					
Amount (000)	- I	1,700	4.8	0	1,700
	- C	37	0	0	37
Cost ($000)	- I	1,200	15.6	405	1,200
	- C	54	0	0	54
Average Cost ($)	- I	0.68	3.25	0	0.69
	- C	1.44	0	0	1.41

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(1) Library System survey: does not include one PLS that did not respond.
(2) Reported in member library survey (weighted estimates).
(3) No. of libraries that use services from Library Systems in which they are not members.
(4) Reported by Library Systems (with imputed data).
(5) The upper values refer to services provided in-house (I) and the lower values to contract (C) when applicable.

IMPORTANCE OF AND SATISFACTION WITH SERVICE

Average Importance of Service		Sample Size n
PLS members	4.66	27
RRLRS members	4.97	14
SLS members	4.64	40
Overall	4.68	81

Average Satisfaction Ratings of Service		Sample Size n
PLS	4.14	27
CL	3.67	1
RRLRS	4.77	9
SLS	4.45	39
Other	2.83	8

Quartile	Range of Average Satisfaction Ratings
Low 25%	<4.50
Mid-low 25%	4.50 - 4.75
Mid-high 25%	4.75 - 4.91
High 25%	>4.91

Median Satisfaction Rating	
PLS	4.83
RRLRS	4.33
SLS	-

COSTS AND FACTORS THAT AFFECT COST OF SERVICE

Quartiles

The quartiles for this service are as follows:

Quartile	Range of Average Costs
High cost 25%	>$2.73
Mid-high cost 25%	$0.55 - $2.73
Mid-low cost 25%	$0.25 - $0.55
Low cost 25%	<$0.25

The median cost per item is $0.55.

Median Average Costs	
PLS	$1.09
RRLRS	$0.26
SLS	$0.83

Economies of Scale

No. of card sets Produced	Avg. Cost ($)	Median Cost ($
Under 10,000 items	$9.82	$2.73
10,000 - 50,000	1.47	1.04
50,000 - 100,000	0.47	0.57
Over 100,000	0.29	0.29

The "critical mass" is about 50,000 to 100,000 at an average cost at $0.50. The number of Library Systems with quantities below the "critical mass" is 8 PLS and 2 RRLRS.

Automation

Not applicable.

Upstate vs. Downstate

PLS - upstate ($0.74), downstate ($0.29)

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FACTORS THAT ARE RELATED TO FUNDING FORMULAS

Population	Avg. Cost/ Unit*	Avg. Cost/ Factor Unit
<300K	$0.95	$0.110
300-500K	0.95	0.115
500K-1M	0.18	0.037
>1M	0.49	0.052
Area		
<1K square miles	$0.29	
1-2K	1.60	
2-3K	0.53	
3-4K	0.42	
>4K	0.57	
Density		
<75 persons/sq.mi.	$0.25	
75-100	0.65	
100-200	0.68	
200-1,000	1.20	
>1,000	0.29	

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* Data reported by Library Systems. Only data in which both quantities and costs reported.

C.5.7 Physical Processing (service 4.10)

		Type of Library System			
		PLS	RRLRS	SLS	Total
WHO PROVIDES SERVICES TO WHOM					
No. of Library Systems That Provide Service (1)					
Current		20	1	0	21
Planned		0	0	0	0
Headquarters		20	1	0	21
No. of Member Libraries (2)					
Total members		731	655	3,207	4,593
Members that use		420	16	0	-
Cross-system type use (3)		0	0	0	-
Total that use		420	16	0	-
Amount of Service Use (000 items) (2)					
Members		690	4	0	694
Cross-system type (3)		0	0	0	0
Total		690	4	0	694
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4,5)					
Amount (000)	- I	1,300	0.4	0	1,300
	- C	202	0	0	202
Cost ($000)	- I	1,100	0	0	1,100
	- C	120	0	0	120
Average Cost ($)	- I	0.85	5.18	0	0.85
	- C	0.59			0.59

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(1) Library System survey: does not include one PLS that did not respond.
(2) Reported in member library survey (weighted estimates).
(3) No. of libraries that use services from Library Systems in which they are not members.
(4) Reported by Library Systems (with imputed data).
(5) The upper values refer to services provided in-house (I) and the lower values to contract (C) when applicable.

Member libraries use other sources to do physical processing (493,000 items); mostly RRLRS members.

No multitype services are provided.

IMPORTANCE OF AND SATISFACTION WITH SERVICE

Average Importance of Service		Sample Size n
PLS members	4.75	104
RRLRS members	5.00	2
Overall	4.79	106

Average Satisfaction Ratings of Service		Sample Size n
PLS	4.17	97
CL	4.44	11
RRLRS	4.83	1
Other	3.62	3

COSTS AND FACTORS THAT AFFECT COST OF SERVICE

Quartiles

The quartiles for this service are as follows:

Quartile	Range of Average Costs
High cost 25%	>$1.24
Mid-high cost 25%	$0.51 - $1.24
Mid-low cost 25%	$0.30 - $0.51
Low cost 25%	<$0.30

The median cost per item is $0.51.

Economies of Scale

No. of card sets Range of items processed	Avg. Cost ($)	Median Cost ($)
Over 10,000	$4.91	$5.09
Under 10,000	0.57	0.53

The number of Library Systems under 10,000 items is 2 PLS and 1 RRLRS.

Automation

Not applicable.

Upstate vs. Downstate

PLS - upstate ($0.68), downstate ($0.35)

FACTORS THAT ARE RELATED TO FUNDING FORMULAS

Population	Avg. Cost/ Unit*	Avg. Cost/ Factor Unit
<300K	$0.65	$0.088
300-500K	0.49	0.071
500K-1M	0.51	0.062
>1M	0.55	0.069

Area	
<1K square miles	$0.36
1-2K	0.82
2-3K	0.98
3-4K	0.20
>4K	0.69

Density	
<75 persons/sq.mi.	$0.31
75-100	0.65
100-200	0.70
200-1,000	0.82
>1,000	0.36

* Data reported by Library Systems. Only data in which both quantities and costs reported.

C.5.8 Conservation/Preservation (service 4.11)

Neither Public Library Systems (8 Systems) nor RRLRS (4 Systems) are widely engaged in providing this service. In fact, between them only about 60,000 items were reported to be treated, at a cost of $125,000 or a little over $2 per item. The sampled member libraries in the survey did not report using this service.

C.5.9 Materials Examination (service 4.13)

Only Public and School Library Systems reported providing this service (16 Public Library Systems and 21 School Library Systems) to 197 and 443 member libraries respectively. Public Library Systems reported that they examined 656,000 items at a cost of $296,000 ($89,000 under contract). The average cost per item examined is $0.32 per item ($14.00 under contract) and $1,500 per library served. School Library Systems report examining 4,900 items at a cost of $19,100 or $3.90 per item. The service is rated to be important (4.49 average importance rating), more so by School Library Systems members than Public Library System members (4.55 vs. 4.29). Satisfaction ratings are as follows: 4.01, Public Library Systems; 3.19, Central Libraries; 4.61, School Library Systems; 5.00, BOCES; and 5.00, other sources.

C.5.10 Recordkeeping (service 4.15)

Only Public Library Systems reported providing this service. A total of ten Systems reported providing the service to 360 libraries. The cost of the service is $275,000 or about $760 per member library served. Those libraries that receive the service consider it important (4.59 average importance rating) and are relatively satisfied with it (4.13, Public Library Systems; 4.00 Central Libraries).

C.5.11 Public Relations (service 4.17)

All three types of Library Systems report providing this service to their member libraries. A summary of the type, amount and cost of these public relation services is given below by type of Library System. Note that these services are almost exclusively provided by Library Systems to their own members.

Public Library Systems

- Print products (posters, signs, pamphlets, exhibits, etc.) (service 4.17.1
  - 18 Public Library Systems provide to 504 member libraries (17 of which are multitype)

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- 13,900 print-jobs at a cost of $770,000 or $55 per job
- 4.15 average importance rating and 3.99, Public Library Systems and 3.25, Central Libraries average satisfaction ratings.

- Newspaper articles (service 4.17.2)
  - 18 Public Library Systems provide for 250 member libraries
  - 611 newspaper articles published at $49,000 or $80 per article
  - 3.78 average importance rating and 3.06, Public Library Systems and 2.79, Central Libraries average satisfaction ratings

- Radio programs or spot announcements (service 4.17.3)
  - 14 Public Library Systems provide for 206 member libraries
  - 519 program announcements at $34,000 or $65 per program or announcement
  - 3.64 average importance rating at 2.93, Public Library Systems and 4.07, Central Libraries average satisfaction rating

- Television programs or spot announcements (service 4.17.4)
  - 10 Public Library Systems for 164 member libraries
  - 193 programs or spot announcements at $150,000 or $780 per program or spot announcement
  - 3.62 average importance rating and 2.83, Public Library Systems and 3.38, Central Libraries average satisfaction ratings

RRRLS

- Print products (service 4.17.1)
  - 8 RRLRS for 28 member libraries
  - 33 print jobs at $77,000 or $2,300 per print job
  - 3.55 average importance rating and 3.13 average satisfaction rating.

- Newspaper articles (service 4.17.2)
  - 5 RRLRS for 8 member libraries

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  - 15 articles at $3,300 or $217 per article
  - 3.00 average importance rating and 3.00 average satisfaction rating

- Television programs or spot announcements (service 4.17.4)
  - 1 reported RRLRS
  - 3 programs or announcements at $2,800 (under contract) at $933 per program or announcement

School Library Systems

- Print products (service 4.17.1)
  - 37 School Library Systems for 534 libraries
  - 14,200 print jobs at $66,200 or $4.70 per job
  - 4.39 average importance rating and 4.23, School Library Systems; 4.93, BOCES average satisfaction rating
- Newspaper articles (service 4.17.2)
  - 28 School Library Systems (no member survey response)
  - 92 articles at $8,800 or $96 per article
  - 4.39 average importance rating
- Television programs or spot announcements (service 4.17.4)
  - 4 School Library Systems (no member survey response)
  - 14 programs or announcements at $9,200 or $660 per program or announcement
  - 4.39 average importance rating

Summary of Public Relations Services

We believe that the member libraries do not rate either importance of or satisfaction with newspapers, radio or television very high because they are not the direct recipients of the services; whereas, print products are generally rated high in both importance and satisfaction by the member libraries. On the otherhand the quality or timeliness of the service might be low resulting in low satisfaction.

C.5.12 Summary of Services to Perform Operational Functions from Member Libraries

Virtually all of the operational services are provided by Library Systems to their own members. Most of these services are provided by Public Library Systems with fewer of them (and with less frequency) provided by RRLRS. The only two of these services provided by School Library Systems are materials examination and public relations. The relative amount of the budgets of the three types of Systems bears out the relative importance of these services:

- Public Library Systems - 14.8 percent of total budget, 18.3 percent of in-house budget
- RRLRS - 7.8 percent of total budget, 12.2 percent of in-house budget
- School Library Systems - 0.9 percent of total budget, 1.0 percent of in-house budget

A special analysis was performed to estimate the extent to which small libraries are served by Public Library Systems (see Section 6).

C.6 Reference, Referral and Research Services

This group of services includes manual preparation or verification of bibliographic citations, or both, responding to information requests, accessing computer information databases for reference purposes, and allocating responsibility for reference services.

Each of these services is defined as follows:

- Manual searching (service 4.12.1). This would include manual searching through printed indexes or other reference materials.
- Online bibliographic searching (service 4.12.2). Includes access to online bibliographic databases (such as Medline, Compendex, LEXIS, CA, etc.), and online access to catalogs through an external system such as OCLC or through a network-installed or network-developed system. Searching for the purpose of interlibrary loan (ILL) should be covered under 3.3 - Electronic databases (e.g., OCLC, BRODART).

- Online other database searching (service 4.12.3). Includes access to numeric databases (such as ARBITRON, CENSUS, AIRES, BI/DATA, etc.) or other databases available externally through vendors, database producers, or by other means.

- Referral searching services (service 4.12.4). Includes manual or computer searching of lists, files, directories or special-purpose databases used for referral of patrons to resources, such as special collections, consultants, equipment, etc. Also includes development of files, directories, or databases used in referral.

- Research analysis (service 4.12.5). This includes search results or other research that requires interpretation or analysis of secondary information sources. Research analysis usually implies that results are reported in written form.

Generally these services are considered very important to member libraries of all types and many of them use the services. Each of the services is discussed below.

C.6.1 Manual Searching (service 4.12.1)

	Type of Library System			
	PLS	RRLRS	SLS	Total
WHO PROVIDES SERVICES TO WHOM				
No. of Library Systems That Provide Service (1)				
Current	14	6	40	60
Planned	0	0	0	0
Headquarters	14	6	40	60
No. of Member Libraries (2)				
Total members	731	655	3,207	4,593
Members that use	268	68	226	-
Cross-system type use (3)	78	0	0	-
Total that use	346	68	226	-
Amount of Service Use (searches) (2)				
Members	14,100	5,100	12,100	31,300
Cross-system type (3)	400	0	0	400
Total	14,500	5,100	12,100	31,700
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4,5)				
Amount - I	95,700	2,800	6,000	104,500
- C	0	300	0	300
Cost ($) - I	1.3m	27,900	50,100	1.3m
- C	0	18,300	0	18,300
Average Cost ($) - I	13.10	10.10	8.30	12.60
- C	0	60.40	0	60.40

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(1) Library System survey: does not include one PLS that did not respond.
(2) Reported in member library survey (weighted estimates).
(3) No. of libraries that use services from Library Systems in which they are not members.
(4) Reported by Library Systems (with imputed data).
(5) The upper values refer to services provided in-house (I) and the lower values to contract (C) when applicable.

The quantity of services provided by Central Libraries is estimated to be 626,000 requests at a cost of $1,341,000 or an average cost of $2.14 per request. The median is $2.82 per request.

Few other sources are used by member libraries to do manual searching (138 searches).

Multitype manual searching is done by PLS only.

IMPORTANCE OF AND SATISFACTION WITH SERVICE

Average Importance of Service		Sample Size n
PLS members	4.47	51
RRLRS members	4.54	10
SLS members	4.34	22
Overall	4.42	83

Average Satisfaction Ratings of Service		Sample Size n
PLS	4.14	44
CL	3.82	21
RRLRS	4.24	8
SLS	4.46	19
Other	4.30	8

Quartile	Range of Average Satisfaction Ratings
Low 25%	<3.38
Mid-low 25%	3.38 - 4.25
Mid-high 25%	4.25 - 4.33
High 25%	>4.33

Median Satisfaction Rating	
PLS	4.13
RRLRS	4.33
SLS	-

COSTS AND FACTORS THAT AFFECT COST OF SERVICE

Quartiles

Quartiles are as follows:

Quartile	Range of Average Costs
High cost 25%	>$10.10
Mid-high cost 25%	$6.15 - $10.10
Mid-low cost 25%	$3.05 - $ 6.15
Low cost 25%	<$3.05

Median cost is $6.15 per search.

	Median Average Costs
PLS	$4.53
RRLRS	$6.64
SLS	$7.28

Economies of Scale

There is not a strong indication of economies of scale, although about 1,000 searches appears to be a point at which average costs go down ($12.80 per search above 1,000 and $7.60 per search below 1,000 searches). There are 2 PLS, 3 RRLRS and 7 SLS with quartiles below this breakeven point.

Automation

No automation.

Upstate vs. Downstate

PLS - upstate ($2.89), downstate ($16.59)

FACTORS THAT ARE RELATED TO FUNDING FORMULAS

Population	Avg. Cost/ Unit*	Avg. Cost/ Factor Unit
<300K	$1.91	$0.019
300-500K	4.09	0.029
500K-1M	5.17	0.024
>1M	16.59	0.076
Area		
<1K square miles	$16.59	
1-2K	1.70	
2-3K	5.22	
3-4K	3.09	
>4K	1.47	
Density		
<75 persons/sq.mi.	$0.79	
75-100	13.05	
100-200	3.79	
200-1,000	-	
>1,000	16.59	

* Data reported by Library Systems. Only data in which both quantities and costs reported.

C.6.2 Online Bibliographic Searching (service 4.12.2).

	Type of Library System			
	PLS	RRLRS	SLS	Total
WHO PROVIDES SERVICES TO WHOM				
No. of Library Systems That Provide Service (1)				
Current	12	5	34	51
Planned	0	0	3	3
Headquarters	12	5	34	51
No. of Member Libraries (2)				
Total members	731	655	3,207	4,593
Members that use	171	128	362	-
Cross-system type use (3)	57	11	0	-
Total that use	228	139	362	-
Amount of Service Use (searches) (2)				
Members	2,200	6,600	1,000	9,800
Cross-system type (3)	1,000	100	0	1,100
Total	3,200	6,700	1,000	10,900
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4)				
Amount	3,000	2,100	3,600	8,700
Cost ($)	59,000	100,000	55,000	214,000
Average Cost ($)	19.60	48.30	15.30	24.60

(1) Library System survey: does not include one PLS that did not respond.
(2) Reported in member library survey (weighted estimates).
(3) No. of libraries that use services from Library Systems in which they are not members.
(4) Reported by Library Systems (with imputed data).

The quantity of services provided by Central Libraries is estimated to be 3,000 requests at a cost of $19,500 or an average cost of $6.45 per request. The median is $32.12 per request.

RRLRS member libraries use other sources for about 21,000 searches.

Both PLS (57 libraries) and RRLRS (11 libraries) do some multitype online searching.

IMPORTANCE OF AND SATISFACTION WITH SERVICE

Average Importance of Service		Sample Size n
PLS members	3.89	36
RRLRS members	4.76	21
SLS members	4.36	23
Overall	4.36	80

Average Satisfaction Ratings of Service		Sample Size n
PLS	4.24	35
CL	3.04	7
RRLRS	4.39	16
SLS	3.31	18
Other	4.51	12

Quartile	Range of Average Satisfaction Ratings
Low 25%	<4.00
Mid-low 25%	4.00 - 4.33
Mid-high 25%	4.33 - 4.50
High 25%	>4.50

Median Satisfaction Rating	
PLS	4.32
RRLRS	4.33
SLS	-

PLS member libraries rate importance of this service relatively low. Central Libraries and SLS are rated low concerning satisfaction with searches.

COSTS AND FACTORS THAT AFFECT COST OF SERVICE

Quartiles

Quartiles for this service are as follows:

Quartile	Range of Average Costs
High cost 25%	>$40.00
Mid-high cost 25%	$38.00 - $40.00
Mid-low cost 25%	$12.30 - $38.00
Low cost 25%	<$12.30

The median is $38.00 per online search.

	Median Average Costs
PLS	$ 7.42
RRLRS	$35.23
SLS	$24.42

Economies of Scale

No. of Online Searches	Average Cost ($)	Median Cost ($)
Under 50	$35.00	$32.90
50 - 100	28.50	38.90
100 - 500	21.10	32.40
Over 500	20.90	29.90

There are slight economies of scale and the "critical mass" is about 100 searches.

Automation

All automated.

Upstate vs. Downstate

PLS - upstate ($17.30), downstate ($26.75)

FACTORS THAT ARE RELATED TO FUNDING FORMULAS

Population	Avg. Cost/ Unit*	Avg. Cost/ Factor Unit
<300K	$19.04	$0.009
300-500K	22.50	0.019
500K-1M	44.00	0.008
>1M	27.90	0.014
Area		
<1K square miles	$26.75	
1-2K	39.62	
2-3K	31.50	
3-4K	-	
>4K	-	
Density		
<75 persons/sq.mi.	-	
75-100	$12.30	
100-200	44.00	
200-1,000	39.62	
>1,000	26.75	

* Data reported by Library Systems. Only data in which both quantities and costs reported.

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C.6.3 Online Other Database Searching Service (service 4.12.3).

		Type of Library System			
		PLS	RRLRS	SLS	Total
WHO PROVIDES SERVICES TO WHOM					
No. of Library Systems That Provide Service (1)					
Current		10	3	19	32
Planned		0	0	6	6
Headquarters		10	3	16	29
No. of Member Libraries (2)					
Total members		731	655	3,207	4,593
Members that use		131	24	131	-
Cross-system type use (3)		0	0	0	-
Total that use		131	24	131	-
Amount of Service Use (searches) (2)					
Members		473	913	589	1,975
Cross-system type (3)		0	0	0	0
Total		473	913	589	1,975
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4,5)					
Amount	- I	1,500	400	1,300	3,200
	- C	50			50
Cost ($)	- I	83,000	27,000	36,000	146,000
	- C	8,000			8,000
Average Cost ($)	- I	53.50	65.80	27.30	45.60
	- C	163.00			163.00

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(1) Library System survey: does not include one PLS that did not respond.
(2) Reported in member library survey (weighted estimates).
(3) No. of libraries that use services from Library Systems in which they are not members.
(4) Reported by Library Systems (with imputed data).
(5) The upper values refer to services provided in-house (I) and the lower values to contract (C) when applicable.

The quantity of services provided by Central Libraries is estimated to be 2,000 requests at a cost of $64,400 or an average cost of $31.45 per request. The median is $26.00 per request.

RRLRS member libraries indicate that they use other sources for this service (2,600 searches).

IMPORTANCE OF AND SATISFACTION WITH SERVICE

Average Importance of Service		Sample Size n
PLS members	4.04	26
RRLRS members	4.30	8
SLS members	4.08	12
Overall	4.11	46

Average Satisfaction Ratings of Service		Sample Size n
PLS	4.10	22
CL	4.27	4
RRLRS	2.52	3
SLS	4.22	11
Other	4.28	7

Quartile	Range of Average Satisfaction Ratings
Low 25%	<4.43
Mid-low 25%	4.43 - 4.47
Mid-high 25%	4.47 - 4.50
High 25%	>4.50

Median Satisfaction Rating	
PLS	4.47
RRLRS	-
SLS	-

RRLRS consider this service to be important, but satisfaction ratings are low.

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COSTS AND FACTORS THAT AFFECT COST OF SERVICE

Quartiles

Quartiles for this service are as follows:

Quartile	Range of Average Costs
High cost 25%	>$70.90
Mid-high cost 25%	$39.50 - $70.90
Mid-low cost 25%	$15.80 - $39.50
Low cost 25%	<$15.80

The median is $39.50 per online search.

Median Average Costs	
PLS	$35.05
RRLRS	$32.85
SLS	$27.00

Economies of Scale

There is some indication of economies of scale. Considering 50 searches as a break point, we get the following average and median costs:

Below 50 searches: Avg. - $97.20, Median - $57.10

Above 50 searches: Avg. - $15.40, Median - $15.70

Automation

All searches automated.

Upstate vs. Downstate

PLS - upstate ($37.00), downstate ($500.00)

FACTORS THAT ARE RELATED TO FUNDING FORMULAS

Population	Avg. Cost/ Unit*	Avg. Cost/ Factor Unit
<300K	$124	$0.013
300-500K	35	0.012
500K-1M	-	-
>1M	52	0.010
Area		
<1K square miles	$500	
1-2K	113	
2-3K	10	
3-4K	35	
>4K	-	
Density		
<75 persons/sq.mi.	$0	
75-100	77	
100-200	113	
200-1,000	33	
>1,000	500	

* Data reported by Library Systems. Only data in which both quantities and costs reported.

C.6.4 Referral Searching Services (service 4.12.4).

	Type of Library System PLS	RRLRS	SLS	Total
WHO PROVIDES SERVICES TO WHOM				
No. of Library Systems That Provide Service (1)				
Current	8	6	24	38
Planned	0	0	2	2
Headquarters	8	6	24	38
No. of Member Libraries (2)				
Total members	731	655	3,207	4,593
Members that use	121	55	144	-
Cross-system type use (3)	0	0	0	-
Total that use	121	55	144	-
Amount of Service Use (searches) (2)				
Members	2,900	500	3,000	7,400
Cross-system type (3)	0	0	0	0
Total	2,900	500	3,000	7,400
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4)				
Amount	9,100	1,100	2,000	12,200
Cost ($)	169,000	10,900	20,600	200,500
Average Cost ($)	18.60	9.90	10.10	16.40

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(1) Library System survey: does not include one PLS that did not respond.
(2) Reported in member library survey (weighted estimates).
(3) No. of libraries that use services from Library Systems in which they are not members.
(4) Reported by Library Systems (with imputed data).

The quantity of services provided by Central Libraries is estimated to be 6,400 requests at a cost of $9,800 or an average cost of $1.52 per request. The median is $1.70 per request.

About 800 searches are performed by other sources for member libraries.

No multitype searching is reported.

IMPORTANCE OF AND SATISFACTION WITH SERVICE

Average Importance of Service		Sample Size n
PLS members	4.45	32
RRLRS members	4.56	8
SLS members	4.09	11
Overall	4.31	51

Average Satisfaction Ratings of Service		Sample Size n
PLS	3.92	20
CL	4.20	13
RRLRS	4.42	7
SLS	4.10	11
Other	4.38	4

Quartile	Range of Average Satisfaction Ratings
Low 25%	<4.00
Mid-low 25%	4.00 - 4.50
Mid-high 25%	4.50 - 4.84
High 25%	>4.84

Median Satisfaction Rating	
PLS	-
RRLRS	-
SLS	-

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COSTS AND FACTORS THAT AFFECT COST OF SERVICE

Quartiles

Quartiles for this service are as follows:

Quartile	Range of Average Costs
High cost 25%	>$32.50
Mid-high cost 25%	$7.00 - $32.50
Mid-low cost 25%	$4.80 - $ 7.00
Low cost 25%	<$4.80

The median is $7.00 per search.

	Median Average Costs
PLS	$11.65
RRLRS	$ 7.00
SLS	$11.18

Economies of Scale

There are some indications of economies of scale as follows:

No. of Copies Produced	Average Cost ($)	Median Cost ($)
Less than 50	$34.80	$15.80
50 - 100	15.60	20.00
100 - 220	56.80	20.00
Over 220	2.90	1.60

There are no apparent economies of scale.

Automation

No automation.

Upstate vs. Downstate

PLS — upstate ($3), downstate ($148)

FACTORS THAT ARE RELATED TO FUNDING FORMULAS

Population	Avg. Cost/ Unit*	Avg. Cost/ Factor Unit*
<300K	$1.60	$0.015
300-500K	3.30	0.001
500K-1M	20.00	0.007
>1M	148.00	0.020
Area		
<1K square miles	$148	
1-2K	-	
2-3K	20	
3-4K	3	
>4K	2	
Density		
<75 persons/sq.mi.	$2	
75-100	-	
100-200	17	
200-1,000	-	
>1,000	148	

* Data reported by Library Systems. Only data in which both quantities and costs reported.

C.6.5 Research with Written Reports (service 4.12.5).

Only one RRLRS and six Public Library Systems reported providing this service and it is a rare service for these systems (35 estimated research projects total). The total cost of the service is $20,800 or about $590 per research project.

The quantity of services provided by Central Libraries is estimated to be 3,300 requests at a cost of $56,600 or an average cost of $16.92 per request. The median is $13.80 per request.

C.7 Support of Library Development

These services generally support the member libraries, but do not provide services for library patrons nor involve replacement for operational functions. The principal objective of these services is to take advantage of staff with competencies (knowledge and skills) that individual libraries cannot afford, but together several libraries can afford. This presents another form of economies of scale. The services include:

- Consultant services (services 4.16.1 - 4.16.13). These services include consultation performed by Library System or member library staff and external consultants (paid by Library Systems) to support member libraries. Areas of expertise include: adult, young adult, children's, youth services, audiovisual, outreach, general automation and systems, general consulting to hospital libraries. The services are directed to administrators, faculty, school media specialists and other systems.
- Grant preparation and administration (service 10.1 - 10.7). In addition to grants from Library System funds (e.g., materials grants, cash grants - general, and cash grants - incentive), Library Systems help member libraries prepare and administer grants from LSCA, NEH, NY State Council of the Arts, Construction (State and Federal), automation and so on.
- Continuing education for members and non-members (services 5.1 - 5.3). These services include provision of workshops (member library staff, board/council members, administrators/faculty, or adult continuing education), special programs in regular Library System meetings, and shared professional collections.

These services are discussed below.

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C.7.1 Consultant Services (4.16.1 - 4.16.13).

		Type of Library System			
		PLS	RRLRS	SLS	Total
WHO PROVIDES SERVICES TO WHOM					
No. of Library Systems That Provide Service (1)					
Current		20	8	39	67
Planned		0	0	0	0
Headquarters		20	8	39	67
No. of Member Libraries (2)					
Total members		731	655	3,207	4,593
Members that use		140-413	70-75	360	-
Cross-system type use (3)		0	0	0	-
Total that use		140-413	70-75	360	-
Amount of Service Use (collections) (2)					
Members		100	7,100	8,300	15,500
Cross-system type (3)		0	0	0	0
Total		100	7,100	8,300	15,500
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4,5)					
Amount	- I	82,000	9,300	23,800	115,100
	- C	6,000		200	6,200
Cost ($)	- I	2.0m	281,000	701,000	3.0m
	- C	200,000		7,700	208,000
Average Cost ($)	- I	24.90	30.30	29.50	26.30
	- C	31.70		45.30	32.10

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(1) Library System survey: does not include one PLS that did not respond.
(2) Reported in member library survey (weighted estimates).
(3) No. of libraries that use services from Library Systems in which they are not members.
(4) Reported by Library Systems (with imputed data).
(5) The upper values refer to services provided in-house (I) and the lower values to contract (C) when applicable.

Essentially all of the Library Systems provide consultant services, although somewhat different ones. Public Library Systems provide consulting in the following areas: adult (to 391 libraries), young adult (to 275 libraries), children's (to 450 libraries), youth services (to 145 libraries), audiovisual (to 346 libraries), and outreach (to 303 libraries). The RRLRS provide general consulting (to 98 libraries) and hospital library consulting (to an estimated 96 libraries). All three types of Library Systems provide automation and systems consulting to their members (apparently only to their members). This type of consulting is provided to an estimated 273 Public Library System, 94 RRLRS and 356 School Library System member libraries.

Importance of the consulting services is generally rated high (4.34 - 4.79) with exceptions in the areas of audiovisual (4.07) and outreach (4.05) consulting. Satisfaction with services is generally rated low, particularly those provided by Public Library Systems and Central Libraries, as shown below:

- Adult - 3.90 - Public Library Systems, 3.67 - Central Libraries
- Young Adult - 3.83 - Public Library Systems, 4.33 - Central Libraries
- Children's - 4.60 - Public Library Systems, 3.81 - Central Libraries
- Youth services - 3.89 - Public Library Systems, 1.63 - Central Libraries
- Audiovisual - 3.74 - Public Library Systems, 3.27 - Central Libraries
- Outreach - 3.78 - Public Library Systems, 3.15 - Central Libraries
- General automation and systems - 3.94 - PLS, 3.68 - Central Libraries, 4.07 - RRLRS, School Library Systems - 4.50
- General consulting -- 4.28 - RRLRS
- Hospital library consulting -- 4.18 - RRLRS

C.7.2 Grant Preparation and Administration (service 10.1 - 10.7).

These services are primarily provided by Public Library Systems and RRLRS, almost exclusively to their own member libraries. Services in the seven grant areas are described below:

LSCA (Title I and/or III) grants.

All RRLRS and 20 Public Library Systems indicate they provide this service. An estimated 616 Public Library System members and 56 RRLRS members receive support for a total of 103 and 56 grants respectively. The total cost of this support is $270,000 for Public Library Systems and $33,000 for RRLRS. Average satisfaction rating is 4.03 for Public Library Systems and 4.46 for RRLRS.

NEH grants.

Only five Public Library Systems and two RRLRS report involvement with this type of grant. The numbers of recipient libraries are 46 and two respectively. The costs are about $12,000 and $7,600 respectively. Public Library Systems had an average satisfaction rating of 3.09.

NY State Council on Arts grants.

Twelve Public Library Systems reported working with this form of grant providing support to 244 member libraries. They spent about $80,000. Average satisfaction rating was 3.95.

Construction grants (State and Federal).

Eleven Public Library Systems reported this grant. A total of 154 member libraries were involved. The cost of this work is $46,000. The average satisfaction rating was 3.82.

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Automation grants.

All RRLRS and 18 Public Library Systems indicated they helped with these grants which involved 44 and 280 member libraries respectively. The respective costs are $80,000 and $226,000. The RRLRS average satisfaction rating is 4.44 and Public Library Systems is 3.88.

Hospital libraries grants.

The RRLRS provide these grants to a reported 69 libraries at a cost of $107,000. Average satisfaction rating is 4.14.

Coordinated collection development grants.

Eight of the RRLRS reported this grant for 120 libraries at a cost of $18,400. Member libraries are particularly well satisfied with this effort (4.63).

C.7.3 Continuing Education for Member Libraries and Patrons (service 5.1 - 5.3).

The data below are for workshops only (service 5.1.1-5.1.4).

	Type of Library System			
	PLS	RRLRS	SLS	Total
WHO PROVIDES SERVICES TO WHOM				
No. of Library Systems That Provide Service (1)				
Current	19	6	39	64
Planned	0	0	0	0
Headquarters	19	6	39	64
No. of Member Libraries (2)				
Total members	731	655	3,207	4,593
Members that use	510	310	1,110	-
Cross-system type use (3)	0	70	0	-
Total that use	510	380	1,110	-
Amount of Service Use (attendees) (2)				
Members	9,630	2,060	11,200	22,890
Cross-system type (3)	110	200	10	320
Total	9,740	2,260	11,210	23,210
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4,5)				
Amount - I	548	83	457	1,088
- C	111	27	27	165
Cost ($) - I	417,000	162,000	162,000	741,000
- C	8,000	102,000	9,000	129,000
Average Cost ($) - I	760	1,960	350	680
- C	72	3,780	330	780

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(1) Library System survey: does not include one PLS that did not respond.
(2) Reported in member library survey (weighted estimates).
(3) No. of libraries that use services from Library Systems in which they are not members.
(4) Reported by Library Systems (with imputed data).
(5) The upper values refer to services provided in-house (I) and the lower values to contract (C) when applicable.

The quantity of services provided by Central Libraries is estimated to be 110 requests at a cost of $16,800 or an average cost of $157.00 per request. The median is $402.00 per request.

RRLRS provides multitype library workshops. Member libraries reported attendance, while Library Systems reported workshops held.

These services are extensively provided by all three types of Library Systems, largely, but not exclusively to their own members. The three general continuing education programs are discussed below.

C.7.4 Special Programs In Regular Library System Meetings (service 5.2)

About one-half of the Library Systems reported providing this service, again mostly for their own member libraries. The costs of the service are $77,000 for Public Library Systems at an average of $450 per meeting; $9,400 for RRLRS at $5500 per meeting; and $32,000 for School Library Systems at $590 per meeting. Importance of this service is rated at 4.70. Satisfaction is rated at 3.98 for Public Library Systems, 3.97 for Central Libraries and 4.19 for School Library Systems (no observations for RRLRS). The quantity of services provided by CL is estimated to be 7 requests at a cost of $1,300 or an average cost of $525.00 per request. The median is $720.00 per request.

C.7.5 Shared Professional Collections (service 5.3)

A majority of Library Systems provide this service to member libraries, although relatively more RRLRS and School Library Systems than Public Library Systems. The RRLRS apparently serve all types of libraries to some degree (4 Public Library System members, 17 RRLRS members, and 17 School Library System members); Public Library Systems serve 310 members and School Library Systems serve 330 members. The member libraries consider the service important (4.49) and are generally satisfied (4.07 - Public Library Systems, 3.58 - Central Libraries, 4.00 - RRLRS, 4.65 - School Library Systems). The costs of the service is $28,600 for Public Library Systems; $21,900 for RRLRS; and $111,000 for School Library

Systems. The quantity of services provided by CL is estimated to be 4,100 requests at a cost of $9,800 or an average cost of $2.42 per request. The median is $1.00 per request.

C.8 Direct Services to Users (services 6.1 - 6.12, 4.18)

Public Library Systems provide some services directly to users such as outreach services and job information services. Outreach services include services that are specifically targeted to meet the needs of such groups as the illiterate, persons with impairments, the aging, etc. Job information includes information concerning jobs available, jobs wanted or information about the job market in general. It could include counseling on how to fill out job applications, prepare for job interviews, etc. Information deals with the labor market in general, but could include library jobs as well.

C.8.1 Outreach Services (services 6.1 - 6.12).

Outreach services are summarized as follows:

Literacy (service 6.1).

Nineteen Public Library Systems reported providing this service. Its cost is $445,000 ($108,000 under contract) to serve 9,500 persons (2,800 under contract). The average cost is $47 per person served ($50 in-house, $39 under contract).

English as a second language (service 6.2).

Fourteen Public Library Systems indicate that they provide this service to 2,300 persons (1,100 under contract) for a total cost of $216,000. The average cost is $94 per person served ($163 in-house, $22 under contract).

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Services to jails and detention facilities (service 6.3).

All Public Library Systems indicated that they provide this service to a total of about 70 facilities. The total cost is about $440,00 or about $6,300 per facility.

Services to nursing homes (service 6.4).

Sixteen Public Library Systems report providing this service to 67 nursing homes at a total cost of $277,000 or $4,100 per facility served.

Special service to persons with impairments (service 6.6).

- Deaf (service 6.6.1). Seventeen Public Library Systems provide this service to 15,175 persons at a cost of $59,000 or $3.90 per person served.
- Blind (service 6.6.2). Twenty Public Library Systems provide this service to 17,660 persons at a cost of $680,000 or $39 per person served.
- Physically handicapped (service 6.6.3). A total of 18 Public Library Systems reported providing this service to 120,000 persons at a total cost of $32,200 or $0.31 per person.

Books by mail (service 6.7).

Over one-half of the Public Library Systems provide this service. A total of 222,000 books are said to have been distributed in this manner for a total cost of $532,000 or $2.39 per book distributed.

Service to homeless (service 6.8).

Only 5 Public Library Systems report this service. These five serve about 11,000 persons at a total cost of $10,400 or $0.97 per person.

Early childhood development (service 6.9).

About three-fourths of the Public Library Systems provide this service to 44,200 persons. The total cost is $212,000 and average cost is $4.80 per person served.

Parenting (service 6.10).

Thirteen Public Library Systems report this service, which is provided to 3,500 persons. The total cost is $18,000 or about $5.20 per person.

Aging (service 6.11).

Seventeen Public Library Systems provide this service to 157,600 persons at a cost of $230,000 or $1.46 per person.

C.8.2 Job Information (service 4.18).

Fifteen Public Library Systems indicate they provide job information under grant to about 143,000 persons. The total cost of this program is $472,000 or $3.31 per person served. About $112,000 of the funds are contracted out to serve 12,700 persons at $8.80 per person. Twelve Public Library Systems operate a center (e.g., JEIC) for providing job information. This service serves 114,000 persons at about $472,000 or $4.15 per person. The quantity of services provided by CL is estimated to be 38,200 requests at a cost of $115,000 or an average cost of $3.00 per request. The median is $6.70 per request.

C.9 Enhancement of Interlibrary Cooperation (services 4.3, 7.1 - 7.4, 12.1 - 12.5)

All three types of Library Systems provide some services which help member libraries in their mutual cooperation. These services include:

- Cooperative collection development (service 4.3). This service is like collection development except the activity is done for cooperative collections among member libraries. For example, certain libraries might emphasize collections in subject areas to be shared by all member libraries.

- Communication (services 7.1 - 7.4). These services include provision of electronic mail or electronic bulletin boards, teleconferencing, System newsletters, and System memos and flyers.

- Direct access to member collections (services 12.1 - 12.4). These services include direct access to any member library, intrasystem borrowers card, intersystem borrowers card, and return of books to any library.

These services are described below.

C.9.1 Cooperative Collection Development (service 4.3).

	Type of Library System			
	PLS	RRLRS	SLS	Total
WHO PROVIDES SERVICES TO WHOM				
No. of Library Systems That Provide Service (1)				
Current	9	7	31	47
Planned	0	0	0	0
Headquarters	9	7	31	47
No. of Member Libraries (2)				
Total members	731	655	3,207	4,593
Members that use	97	60	285	-
Cross-system type use (3)	0	0	0	-
Total that use	97	60	285	-
Amount of Service Use (collections) (2)				
Members	100	7,100	8,300	15,500
Cross-system type (3)	0	0	0	0
Total	100	7,100	8,300	15,500
HEADQUARTERS INPUT COST & OUTPUT QUANTITIES (4,5)				
Amount - I	200	230	2,300	2,700
- C			10	10
Cost ($) - I	95,000	77,000	57,000	228,000
- C			10,300	10,300
Average Cost ($) - I	470	330	25	84
- C	70	3,800	1,000	1,030

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(1) Library System survey: does not include one PLS that did not respond.
(2) Reported in member library survey (weighted estimates).
(3) No. of libraries that use services from Library Systems in which they are not members.
(4) Reported by Library Systems (with imputed data).
(5) The upper values refer to services provided in-house (I) and the lower values to contract (C) when applicable.

IMPORTANCE OF AND SATISFACTION WITH SERVICE

Average Importance of Service		Sample Size n
PLS members	4.44	17
RRLRS members	3.32	9
SLS members	4.30	16
Overall	4.18	42

Average Satisfaction Ratings of Service		Sample Size n
PLS	3.65	14
CL	3.75	3
RRLRS	3.81	8
SLS	4.20	16
Other	4.27	5

Quartile	Range of Average Satisfaction Ratings
Low 25%	<2.50
Mid-low 25%	2.50 - 3.25
Mid-high 25%	3.25 - 4.00
High 25%	>4.00

Median Satisfaction Rating	
PLS	-
RRLRS	-
SLS	-

Importance to RRLRS members is quite low. Satisfaction with PLS, CL and RRLRS is also low.

COSTS AND FACTORS THAT AFFECT COST OF SERVICE

Quartiles

Quartiles for this service are as follows:

Quartile	Range of Average Costs
High cost 25%	>$475.00
Mid-high cost 25%	$71.00 - $475.00
Mid-low cost 25%	$22.00 - $71.00
Low cost 25%	<$22.00

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The median is $71.00 per collection.

Economies of Scale

No apparent economies of scale.

Automation

No automation.

Upstate vs. Downstate

PLS — upstate ($78), downstate ($475)

FACTORS THAT ARE RELATED TO FUNDING FORMULAS

Population	Avg. Cost/ Unit*	Avg. Cost/ Factor Unit
<300K	$ 500	$0.003
300-500K	43	0.003
500K-1M	-	-
>1M	480	0.011

Area	Avg. Cost/ Unit*
<1K square miles	$ 475
1-2K	1,000
2-3K	-
3-4K	240
>4K	23

Density	Avg. Cost/ Unit*
<75 persons/sq.mi.	-
75-100	$ 44
100-200	162
200-1,000	1,000
>1,000	475

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* Data reported by Library Systems. Only data in which both quantities and costs reported.

C.9.2 Communication (services 7.1 - 7.4)

Communication services are summaried as follows:

Electronic mail/bulletin boards (service 7.1).

Most RRLRS and School Library Systems and about one-half of the Public Library Systems provide this service. They estimate the number of messages sent to be 35,900 (Public Library Systems), 580 (RRLRS) and 39,000 (School Library Systems). The costs are $59,600 ($1.66 per message), $13,400 ($23 per message), and $71,800 ($1.84 per message) respectively. The quantity of services provided by CL is estimated to be 34,800 requests at a cost of $189,000 or an average cost of $5.43 per request. The median is $6.10 per request.

Teleconferencing (service 7.2).

Only four Public Library Systems and two RRLRS report this service, with 54 and 125 messages sent respectively. The cost is $7,200 ($57 per message) for Public Library Systems.

System newsletters (service 7.3).

Nearly all Library Systems provide this service. In fact a review of newsletters indicates they are quite informative. The number of copies sent by Public Library Systems is 106,000 at a cost of $264,000 ($2.50 per copy). The RRLRS sent 43,700 copies at a cost of $128,000 ($2.90 per copy). School Library Systems sent 34,600 copies at a cost of $165,000 ($4.80 per copy). The quantity of services provided by CL is estimated to be 50 requests at a cost of $1,060 or an average cost of $21.00 per request. The median is $18.30 per request.

System memos and flyers (service 7.4).

Most of the Library Systems also provide this service. Public Library Systems sent 182,000 copies at $161,000 ($0.88 per copy). The School Library Systems sent 774,000 copies at a cost of $724,000 ($0.94 per copy). The RRLRS sent 60,200 copies at a cost of $80,200 ($1.33 per copy). The quantity of services provided by CL is estimated to be 14,400 requests at a cost of $14,100 or an average cost of $0.98 per request. The median is $1.20 per request.

C.9.3 Direct Access to Member Collections (services 12.1 - 12.4)

About one-half of the Library Systems provide these services. The average costs of the services are about $500 per library served for Public Library Systems; $50 per library served for RRLRS; and $25 per library served for School Library Systems. An estimated 490 members of PLS (and 35 non-members) and 150 members of RRLRS reported they benefit from this service.

APPENDIX D

QUESTIONNAIRES AND INSTRUCTIONS

APPENDIX D

QUESTIONNAIRES AND INSTRUCTIONS

In this appendix we provide examples of questionnaires and instructions. The examples are for:

- Public Library System survey
- Central Library survey
- Public Library System member library survey
- Non-member survey
- Library System Interview Guide.

Questionnaires, instructions, etc., were tailored to each type of System and library. PLS surveys are used as examples in this appendix because they have the largest number of services. A comprehensive listing of services is given in Appendix G. This listing was sent to all sampled Systems and libraries. A glossary of terms is given in Appendix B. This glossary was also sent to sampled Systems and libraries. Both the glossary and list of services have service codes that are found in the questionnaires and in the report.

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King Research, Inc.

6000 Executive Boulevard, Rockville, Maryland 20852 (301) 881-6766

Dear Library System Director:

King Research has been commissioned by the New York State Library and the State Education Department to perform a "Study of Library Systems and Services in New York". The purposes of this study are to:

- examine and analyze the way New York's library systems are actually working today,
- compare that to the intent of library laws and regulations and to the needs for library services which consequently affect all state residents, and
- recommend changes and justify such recommendations where changing conditions indicate the need for them.

In particular, the study is addressed to five components"

- Mission and services
- Governance
- Intersystem relationships and cooperation
- Funding
- Measurement

In order to accomplish the objectives, we are collecting data from three main sources:

- Library Systems. Data will be collected from all 3Rs, public library and school library systems. Information and data will be collected from the library systems in three ways: data reported to the State Library and other available information, data collection instrument to be self-administered by the systems, and personal interviews by KRI staff with staff of each system.
- Library System Members and Non-Members. Data will be collected from a sample survey of library system members and non-members across the State. A subset of these library system members will be selected to participate in an in-depth cost survey.
- Review and Analysis of Secondary Sources of Information. In addition to data collected from and about library systems and system members and non-members, we will collect data from other appropriate sources such as the State Library staff, other states, and other library systems studies.

New York State will use the data and recommendations from the study to plan for library systems and services in the 1990s.

To accomplish the objectives above it is necessary to obtain certain information about all types of library systems concerning type of services provided, output of these services (i.e., quantities and timeliness) and input resources used to provide the services (i.e., costs).

Some very useful data are provided in annual reports provided to the New York State Library. However, some additional output and input data need to be gathered for specific services provided by you. These data will be collected on the attached data collection form. Also, through in-person interviews we will solicit your opinions and attitudes on such issues as funding levels, services provided, governance, the role of the Division of Library Development, and so on.

The attached data collection form is confidential and data will not be revealed except in aggregated form (i.e., across types of Library Systems). Some data, such as costs of specific services, will be aggregated with costs incurred by individual libraries in order to establish total costs of specific services.

Attached to the questionnaire is a composite list of library system services, resources and activities. Some of these services are not likely to be provided by your Library System, but will be useful for reference. Also attached are instructions for Part 1 of the questionnaire and a short glossary of terms. These attachments are given separately to facilitate your reference to them while filling out the questionnaire.

We recognize the burden of providing such detailed information, but we require this level of detail to achieve the objectives of the study. Please provide your best estimates of quantity and cost of services your library system headquarters uses or provides.

The last such study was done 20 years ago and, therefore, the study results and recommendations are likely to have an effect on library systems and services for a long time.

Please return the completed questionnaire, if possible, by April 22, 1988. After you have returned the questionnaire we may call you to clarify your responses. If you have any questions concerning the data required, please contact Dr. Jose-Marie Griffiths, Mr. Donald W. King or Mr. Laurence Lannom at 301-881-6766.

Your cooperation is very much appreciated.

Sincerely,
José-Marie Griffiths
Donald W. King
José-Marie Griffiths
Donald W. King

King Research, Inc.

6000 Executive Boulevard, Rockville, Maryland 20852 (301) 881-6766

Dear Library System Director:

As you know, King Research is conducting a "Study of Library Systems and Services in New York" under contract from the New York State Library and the State Education Department. In order to perform the study, we are conducting surveys of library systems and library system members to collect data not already available through annual data collection. Unfortunately, not enough data are available concerning specific services provided by library systems. For example, some data are available concerning whether or not library systems provide some services but not who provides them (i.e., headquarters, a library system member, an external source, or combinations of these), the extent to which the service is provided, nor the cost of providing (and using) the service. Such data are necessary to achieve the objectives of the study, which are to:

- examine and analyze the way New York's library systems are actually working today,
- compare that to the intent of library laws and regulations and to the needs for library services which consequently affect all state residents, and
- recommend changes and justify such recommendations where changing conditions indicate the need for them.

It is clear that one-time collection of such detailed data is very difficult. For this reason, we have developed several steps in the data collection effort to help ensure that the collected data are consistent, accurate and precise. These steps are as follows:

(1) We designed and redesigned data collection instruments through two full advisory group meetings, two meetings with a sub-group and several days consulting with Division of Library Development staff.

(2) We sent pre-test data collection instruments to 44 library systems and library system members (mid-February). As a result of written responses and hours of telephone discussion we are again modifying the questionnaire.

(3) The census survey includes all library systems in the State.

(4) Two workshops are planned for library system directors (or their designates) to explain the objectives of the surveys, the underlying framework for data to be collected, and how the data will be used. In addition, we will discuss the questions, definitions and, particularly, cost estimates. A handout will be provided at the workshops. The questionnaire will be mailed prior to workshops.

(5) The data collection instruments are to be completed in the month following the workshops. During the data collection period, Dr. Griffiths, Mr. Lannom and I will be available to answer questions by telephone.

(6) We plan to personally visit each library system. By that time we plan to have processed the questionnaire and will identify only results that appear unusual or extraneous. During the visit we can discuss these anomolies or further questions that library directors might have.

We believe that the arduous steps above will iron out difficulties and provide the quality of data that this important study warrants.

This letter is to provide you with further information concerning the library systems workshops (step 4 above) scheduled on March 22nd in Syracuse and March 23rd in New York City. You should have received a NYLINE message from Ms. Judith Levine concerning these workshops. It obviously is not necessary that all library systems be represented. However, the quality of the study data and results will be enhanced through extensive participation and we urge you to attend, if possible. Non-participants will be sent a copy of the hand-out to help with definitions and other aspects of the data collection instruments.

We feel that this one-time data collection effort can benefit individual library systems by their going through the exercise of determining, for example, cost per use of specific services. We will provide aggregated data (i.e., averages or norms) for individual library systems to compare their operations against. Also, the definitions used on the surveys may be useful to library systems in the future.

As mentioned above, the two locations are Syracuse and New York City. Specific instructions are as follows:

Syracuse

Place: Le Moyne College
Academic Complex
Reilley Room (Room 446)

A map of the campus and travel instructions (reverse side) are enclosed for up-state library systems. If you did not receive this map and you intend to attend at Syracuse, please call and we'll send one.

Time: March 22
10:00 a.m. - 1:00 p.m. (without a lunch break)

New York City

Place: New York Public Library
Mid-Manhattan Branch
455 Fifth Avenue
(Fifth Avenue & 42nd Street)
Conference Room B
(please take staff elevator)

Time: March 23
1:30 p.m. - 4:30 p.m.

I would like to thank Keith Washburn and Edwin Holmgren for helping with these arrangements.

Sincerely,

Donald W. King

Donald W. King
President

King Research, Inc.

6000 Executive Boulevard, Rockville, Maryland 20852 (301) 881-6766

April 26, 1988

Dear Library System Director:

This letter is a reminder for those of you who have not returned your Library System questionnaire. We have received a number of questionnaires and several of you have been in touch to indicate that the response will be returned shortly. For those of you who have responded, we want to thank you. Thus far, the responses look quite good.

Two Library System Directors called to say that they had not received our March 30 letter and revised interlibrary loan part of the questionnaire (Items 1.1 and 1.2). A copy of the letter and revision is enclosed in case you did not receive them.

Finally, we will be in touch with you within ten days or so to set up a meeting with Dr. Jose Griffiths, Ms. Sandy Cooper (consultant) or me to discuss your Library System, your concerns, questionnaire responses, etc. We anticipate that the meetings will focus on the non-quantitative aspects of this study. In addition, we would like to briefly review and receive a copy of your bylaws and annual reports. We would also like to meet with your board/council members and with representatives of member libraries during our visit. We will discuss these aspects of the visits when we call.

We look forward to seeing you soon.

Sincerely,

José-Marie Griffiths

Donald W. King

Jose-Marie Griffiths
Donald W. King

Center for Quantitative Sciences

PART 1

LIBRARY SYSTEM SERVICES, RESOURCES, AND ACTIVITIES

INSTRUCTIONS

The purpose of this part of the questionnaire is to obtain information about (1) the type of services provided by your library system, and (2) the quantity and cost of services provided by your library system headquarters. These data will be used for our study results and recommendations. However, they can also be used by library system Directors to help them allocate their resources and make decisions in the future.

Limit your responses to those services (e.g., interlibrary loans), resources (e.g., staff, terminals, etc.) or activities (e.g., centralized cataloging) provided as part of your Library System for use by your members. The provider of the library system service, resource, or activity can be your Library System headquarters, your Library System members, or an external source.

HEADQUARTERS includes only the library system functions performed centrally by a headquarters as a distinct funding entity. If the headquarters is located with a member library or another organization (e.g., BOCES), include only the part that has **clearly identifiable library system funding.** For example, if interlibrary loans are processed by the member or central library (located in the same library as headquarters) and ILL staff is paid by the member library, the service should not be included in amount of service or cost of headquarters. On the other hand, if the staff is dedicated to the headquarters and staff is paid by the library system (at least for the service), the amount of service and cost should be recorded for the headquarters. If headquarters contracts out a library system service (such as retrospective conversion) to a member library (or other organization): (1) quantity of activity should be recorded (if known), (2) costs to headquarters should reflect only costs associated with administering the contract, and (3) amount of the contract should be recorded in the last column (Contract/Grant Amount to Provide Service).

For quantity of services indicate (in the blank) the quantities or amount of services, resources or activities currently provided by your **HEADQUARTERS.** Some library systems and some headquarters do not provide certain services. Therefore, these quantities can be left blank. If exact amounts are not known, please estimate the amounts to your best ability and record the amounts with an E (e.g., 2,000E items). If you cannot estimate, please record 'DK' for don't know. Note that most units of services imply the amounts of services provided in a recent year (e.g., 2,000 items loaned per year). Recent year is 1987, 1986/87 or any recent 12 month period in which known data are available.

There are four columns under cost data: (1) Direct-Labor Services Only, (2) Direct-Other Variable, (3) Direct-Fixed, and (4) Contract/Grant Amount.

The purpose of the cost data is to obtain an indication of costs associated with each service, resource or activity provided by your Library System **HEADQUARTERS.** The costs should reflect those costs incurred during the same year as data reported for quantity of services. Please complete this part with your best estimate of costs ($) to the nearest $1,000 (unless the total amount is under $10,000 in which case provide to nearest $100).

WE MERELY REQUIRE APPROXIMATE ESTIMATES OF COSTS IF ACTUAL COST DATA ARE NOT READILY AVAILABLE. HOWEVER, RECORD COSTS WITH AN 'E' IF MADE BY ROUGH ESTIMATE (E.G., $135,000E). RECORD 'DK' FOR DON'T KNOW FOR THOSE COSTS YOU FEEL YOU CAN NOT ADEQUATELY ESTIMATE.

DIRECT-LABOR SALARIES COSTS should involve your best estimate of the amount of salaries of staff allocated to the time they actually spent providing each service. Labor includes professional staff (e.g., administrators, librarians, etc.), library technicians/paraprofessionals, and clerical/support staff (e.g., data entry technicians, drivers, secretaries, etc.). **DO NOT INCLUDE FRINGE BENEFITS SUCH AS VACATION, HOLIDAYS, SICK LEAVE, RETIREMENT FUND, INSURANCE, ETC. (EXCEPT UNDER ITEM 13.3).** Please estimate direct labor costs to the nearest $1,000 (unless the total amount is under $10,000 in which case provide to nearest $100). For example, your headquarters might process interlibrary loan requests and/or provide interlibrary loans such as journal articles. Direct labor might involve staff time to process requests, refer requests not available by headquarters, pull journal issues, photocopy articles, shelve journal issues, send to requesting library. If 50 percent of one's time is devoted to these activities, the labor cost could be estimated by multiplying that person's salary times 0.50.

DIRECT-OTHER VARIABLE COSTS are those non-labor costs that are directly incurred as a result of providing a service. Other variable costs would be those costs that are directly related to providing the services. For example, online bibliographic searches might have line charges, hit rate charges, photocopying, etc. as other (non-labor) variable costs. These costs vary with the number of searches performed. Again, please estimate other direct costs to the nearest $1,000 (unless the total amount is under $10,000, in which case provide to nearest $100). These costs should be identified with or related to amount of services provided. For example, your headquarters might provide 10,000 photocopies of articles to Library System members. Photocopy equipment costs (say, at 4 cents per page and 10 pages per article) might be reported as $4,000.

TOTAL-DIRECT FIXED COSTS include those fixed costs that are incurred one-time or on a recurring basis (e.g., monthly or annually) in order to provide a service. These costs will not vary by amount of services provided or number of transactions done. Examples include OCLC annual fees, allocation of computer equipment or vehicles, purchase of special equipment for the blind and so on. If these costs are amortized, use 5 years or your current accounting practice. If not 5 years, please indicate number of years. If direct fixed costs are shared among services, please provide your best estimate of the proportion allocated to a service by amount of time used and so on. For example, if a photocopying machine is leased at $800 per month and one-fifth of its photocopies involve interlibrary loan of journal articles, the allocated direct fixed costs would be $1,900 (i.e., $800 x 12 x 0.20 to the nearest $100). Estimates of costs should be to the nearest $1,000 (unless the total amount is under $10,000 in which case provide to nearest $100).

CONTRACT/GRANT AMOUNT includes funds contracted to member libraries or others to perform a service, provide resources or perform activities. These contracts would include services primarily provided for benefit of your library system and its members. DO NOT INCLUDE GRANTS DIRECTED TO SPECIFIC LIBRARY MEMBERS FOR THEIR OWN USE; E.G., FOR CONSTRUCTION LOANS. Contract or grant amounts should be exact or, if not known, to nearest $1,000.

NOTES ON SERVICE QUANTITIES AND COSTS

Do NOT include costs incurred by member libraries to provide services.

Include costs associated with handling materials, recordkeeping, administration, etc. for each service.

1. ACCESS TO MATERIALS

1.1, 1.2. Library loan costs should NOT include delivery costs (e.g., postage, courier, etc.). These costs should be included under 4.14 - Delivery services.

Do include requests that are referred to member libraries or elsewhere.

4.9 Retrospective Conversion

Number of copies of lists include all such copies (i.e., number of types of lists times number of issues per year times number of copies per issue).

8. COMPUTER FACILITIES & TELECOMMUNICATIONS

Computers and computer systems may be located at headquarters or in a member library. Include computers used by system staff in performing their duties as well as shared computer systems.

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Quantities should include all items, even though dedicated to specific services.

Costs should include only those costs not recorded for other services. Thus, it may be best to record costs for this resource at the end.

9. GRANTS FROM SYSTEM FUNDS

Include only the cost of activities associated with administering grants here. Include the cost of administering the hospital library service program in 10.6 and coordinated collection development program for academic libraries in 10.7; include associated ILL activities in 1.1 or 1.2; include acquisitions in 4.4; and so on.

11. MEMBER LIBRARY PARTICIPATION IN SYSTEM

Include costs associated with setting up meetings, meeting rooms (if paid for), etc. Include travel costs, participant salaries, fees or stipends only if paid for by headquarters budget.

13. GENERAL & ADMINISTRATION

13.1 Library system overhead and administration costs should include library system director and support staff time not devoted to specific services. Some word processing equipment time might be allocated to this service.

13.2 Some system headquarters merely process funds that are passed from an external source to member libraries, member libraries to an external source or among member libraries. Costs would largely involve labor to administer such funds.

RECORD AMOUNT OF SUCH FUNDS IN LAST COLUMN even though they are not contract or grant amounts to provide service.

13.3 Fringe benefits costs would include vacation, sick leave, holidays, personal time, etc. to be recorded under Labor Salaries Only - Direct Costs; pension, insurance, etc. to be recorded under Other Variable - Direct Costs.

13.4 Facilities (rent, heat, light, janitorial, etc.) costs to be recorded under Fixed - Direct Costs.

GLOSSARY OF TERMS

1.1 **INTERLIBRARY LOAN REQUEST.** Involves the process of requesting an interlibrary loan and receiving the request to determine its disposition. It may involve a form (e.g., ALA form) or the request could be transmitted by an electronic medium. Request processing would include the actual preparation of a request by a borrower (including input to electronic medium) and handling the request up to the point that its disposition is determined (e.g., to fulfill in library, refer to another source, or refer back to borrowing library). It does not include processing the material being loaned (see items 1.2 and 2.1) or the process of verifying or of locating the material for referral to that location. (See item 3.) Activities might include acting as a clearinghouse for interlibrary loan requests, using computer information data bases to locate the information requested, and referring interlibrary loan requests from one library to another.

1.2 **INTERLIBRARY LOAN.** A transaction in which a Library System headquarters, Central Library or member library lends an item, or distributes a photocopy of an item, to another cooperating member or library.

3. **LOCATING NEEDED MATERIAL.** This activity involves searching to verify and/or locate an item to be borrowed or loaned. The activity might be done by the borrowing library or referred to another source such as a Library System to be done on behalf of the borrowing library. External sources or systems might be employed such as NYSILL, a Library System-wide union catalog (e.g., COMCAT), OCLC, or a designated system clearinghouse.

4 **SHARED OR COOPERATIVE OPERATIONAL ACTIVITIES.** These activities are those performed by Library System headquarters, Central Library, member libraries, or other organizations for the benefit of member libraries. The activities are often provided to member libraries because of special staff competencies or equipment, or because member libraries do not have sufficient volume to justify performing activities by themselves.

4.1 **CIRCULATION CONTROL.** The service/activity of lending, which includes those activities connected with charging or discharging items and maintaining records borrowed from the library system member or headquarters collection. In a library system environment, it includes the use of shared computer-based circulation systems, either shared by a cluster or member libraries with headquarters facilitation, or provided directly and entirely by headquarters to member libraries.

4.2 **COLLECTION DEVELOPMENT.** This activity is done for specific library members. Encompasses those activities which relate to or impact on the development of library collections of the library system member, including determining selection policy, assessment of user needs, collection evaluation, selection of materials, etc. It includes providing pre-selected "buying lists".

4.3 **COOPERATIVE COLLECTION DEVELOPMENT.** Same as 4.2, except the activity is done for cooperative collections among member libraries. For example, certain libraries might emphasize collections in subject areas to be shared by all member libraries.

4.4 **ACQUISITIONS OR ORDERING.** Those activities related to systems used for obtaining library materials (books, periodicals, equipment and other materials), through purchase, exchange, or gift; includes preorder bibliographic searching, ordering and receiving materials, processing invoices, and the maintenance of the necessary records related to acquisitions.

4.5 **COOPERATIVE PURCHASING.** This activity represents agreements used to purchase goods and maintenance services which are "mass" purchased, leased or rented through written agreements, usually at discounted rates, shared by the library system and its members. This includes the purchase of books, periodicals, microforms, audiovisual materials utilized by library system and members, or both. It also includes all shared equipment such as projectors, fiche readers, and reproduction and computer equipment, in addition to administrative and library supplies.

4.6 **CATALOGING.** Includes those activities performed by staff of headquarters, Central Libraries and/or library system members, or other outside personnel, in preparation of bibliographic records for a catalog.

4.7 **RETROSPECTIVE CONVERSION.** Conversion of bibliographic information into machine-readable form so that automated systems can be used to perform library functions such as circulation, public access catalogs, etc.

4.8 **CATALOG PRODUCTION.** The process of producing catalog cards, tape, microfiche, microfilm, etc.

4.9 **UNION LIST/CATALOG PRODUCTION.** The process of compiling and providing union catalogs and/or lists of library holdings; includes lists of monographs, non-print media (e.g., computer tapes, audio-visual materials, etc.), and serials (e.g., journals, newspapers, magazines, etc.).

4.10 **PHYSICAL PROCESSING.** The activities carried out by headquarters, Central Libraries, a member library, processing center, or others, to prepare items for use. For example, physical processing of books includes jacketing, affixing labels and pockets, ownership marking, etc.

4.11 **CONSERVATION/PRESERVATION.** The activities associated with maintaining library and archival materials for use, either in their original physical form, or in some other useable way. Includes the use of chemical and physical procedures for preservation, binding and rebinding procedures, preservation microfilming, etc.

4.12 **REFERENCE/INFORMATION AND REFERRAL SERVICE.** Includes manual preparation or verification of bibliographic citations, or both, responding to information requests, accessing computer information databases for reference purposes, and allocating responsibility for reference services.

4.12.1 **MANUAL SEARCHING.** This would include manual searching through printed indexes or other reference materials.

4.12.2 **ONLINE BIBLIOGRAPHIC SEARCHING.** Includes access to online bibliographic databases (such as Medline, Compendex, LEXIS, CA, etc.), and online access to catalogs through an external system such as OCLC or through a network-installed or network-developed system. Searching for the purpose of interlibrary loan (ILL) should be covered under 3.3 - Electronic databases (e.g., OCLC, BRODART).

4.12.3 **ONLINE OTHER DATABASE SEARCHING.** Includes access to numeric databases (such as ARBITRON, CENSUS, AIRES, BI/DATA, etc.) or other databases available externally through vendors, database producers, or by other means.

4.12.4 **REFERRAL SEARCHING SERVICES.** Includes manual or computer searching of lists, files, directories or special-purpose databases used for referral of patrons to resources, such as special collections, consultants, equipment, etc. Also includes development of files, directories, or databases used in referral.

4.12.5 **RESEARCH ANALYSIS.** This includes search results or other research that requires interpretation or analysis of secondary information sources. Research analysis usually implies that results are reported in written form.

4.13 **MATERIALS EXAMINATION.** This includes the examination of all new acquisitions of books, audiovisual materials (films, slides, sound tapes, and records), microfiche, and other information/reference materials for possible inclusion in the library system holdings or for sharing by member libraries.

4.14 **DELIVERY SERVICES.** Items delivered or sent would include letters, delivery envelopes, packages, packets of materials (e.g., printed book-marks), and so on. Includes: (a) all staff personnel based at headquarters or library system member libraries who deliver materials to headquarters and/or its members in support of library system activities and administration on a regular basis; (b) all delivery services, such as professional courier companies and airline couriers that support library system business. Include delivery services which are cooperatively purchased between members and members or between members and headquarters.

4.15 **RECORDKEEPING FOR MEMBER LIBRARIES.** Includes maintaining payroll, statistical and financial records necessary to support management functions and decisionmaking of member libraries.

4.16 **CONSULTANT SERVICES.** Indicates consultation performed by library system or member library staff or external consultants to support member libraries.

4.17 **PUBLIC RELATIONS.** Activities and materials used to promote library systems, member libraries, or libraries in general. Publicity might be achieved through posters or signs, newspaper articles, radio or television.

4.18 **JOB INFORMATION.** Includes information concerning jobs available, jobs wanted or information about the job market in general. It could include counseling on how to fill out job applications, prepare for job interviews, etc. Information deals with the labor market in general but could include library jobs as well.

6 **OUTREACH.** Outreach services would include services that are specifically targeted to meet the needs of such groups as the illiterate, persons with impairments, the aging, etc.

PART 1
LIBRARY SYSTEM SERVICES, RESOURCES AND ACTIVITIES

SERVICE, RESOURCE, ACTIVITY	LIBRARY SYSTEM		SERVICE QUANTITIES AND COSTS — HEADQUARTERS ONLY					
					ALL COSTS TO NEAREST $1,000			
					Direct Costs			
	Service, Resource or Activity Provided By Library System	If not now Provided: Service, Resource or Activity Is Planned Within 2 years	Quantity of Services Provided Per Year by Headquarters Number	Units	Labor Salaries Only	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/ Grant Amount to Provide Service
1. ACCESS TO MATERIALS								
1.1 Intrasystem library loan to fill specific requests (i.e., loans only among libraries and/or headquarters in your library system)	Yes__ No__	Yes__ No__	____ ____ ____	request forms (processed) items loaned items borrowed for headquarters and outreach				
1.2 Intersystem library loan to fill specific requests (i.e., loans to and/or from other library systems or other libraries)	Yes__ No__	Yes__ No__	____ ____ ____	request forms (processed) items loaned items borrowed for headquarters and outreach	$______ ALL ILL	$______ ALL ILL	$______ ALL ILL	$______ ALL ILL
					NOTE: DO NOT INCLUDE DELIVERY COSTS			
1.3 Rotating collections (i.e., collections that rotate from library to library in the system) What types of materials? __________ ____________________ ____________________	Yes__ No__	Yes__ No__	____ ____ ____	number of collections items loaned from collections frequency of rotation	$______	$______	$______	$______
1.4 Pool collection(s) (loans from shared system pool(s) that is permanently maintained by headquarters or elsewhere)	Yes__ No__	Yes__ No__	____ ____	books other items	$______	$______	$______	$______

	SERVICE QUANTITIES AND COSTS — CENTRAL LIBRARY					
			ALL COSTS TO NEAREST $1,000			
			Direct Costs			
	Quantity of Library System Services Provided Per Year by Central Library					
SERVICE, RESOURCE, ACTIVITY	Number	Units	Only Labor Salaries and Wages	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/Grant Amount to Provide Service
1. ACCESS TO MATERIALS						
1.1 Interlibrary loan (ILL) request processing/referral						
- both borrowing and lending libraries within library system	(a)____	request forms (processed)				
- borrowing library within system, lending library out of system	(b)____	request forms (processed)				
- borrowing library out of system, lending library within system	(c)____	requests forms (processed)				
	____	total requests (a + b + c)	$____ ALL REQUESTS	$____ ALL REQUESTS	$____ ALL REQUESTS	$ NA ALL REQUESTS
1.2 Interlibrary loan of materials						
- borrowing library within library system	(a)____	items LOANED by Central Library				
- borrowing library out of system	(b)____	items LOANED by Central Library				
- lending library within library system	(c)____	items BORROWED by Central Library for patrons who do not live in local community				
- lending library out of system	(d)____	items BORROWED by Central Library for patrons who do not live in local community				
IF YOU CAN NOT DISTINGUISH BETWEEN (A) AND (B) OR (C) AND (D) GIVE TOTALS ONLY	____	total items LOANED by Central Library (a + b)	$____ LOANS	$____ LOANS	$____ LOANS	$ NA LOANS
	____	total items BORROWED by Central Library for patrons who do not live in local community (c + d)	$____ BORROW	$____ BORROW	$____ BORROW	$ NA BORROW

NOTE: DO NOT INCLUDE DELIVERY COSTS

SERVICE, RESOURCE, ACTIVITY	LIBRARY SYSTEM		SERVICE QUANTITIES AND COSTS — HEADQUARTERS ONLY					
					ALL COSTS TO NEAREST $1,000			
					Direct Costs			
	Service, Resource or Activity Provided By Library System	If not now Provided: Service, Resource or Activity Is Planned Within 2 years	Quantity of Services Provided Per Year by Headquarters Number	Units	Labor Salaries Only	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/ Grant Amount to Provide Service
1.5 Bookmobiles, reading stations in otherwise unserved areas, etc.	Yes__ No__	Yes__ No__	____ ____ ____	bookmobile circulation hours of service reading stations	$____	$____	$____	$____
1.6 Other (please specify)________________	Yes__ No__	Yes__ No__	____	________________	$____	$____	$____	$____
2 2. ACCESS TO EQUIPMENT								
2.1 Intrasystem library loan (temporary loans that are returned in a specified time period)	Yes__ No__	Yes__ No__	____ ____ ____	terminals/micros loaned projectors/readers, etc. loaned other equipment items loaned				
2.2 Intrasystem library loan (permanent or semi-permanent loans)	Yes__ No__	Yes__ No__	____ ____ ____	terminals/micros loaned projectors/readers, etc. loaned other equipment items loaned				
2.3 Other (please specify) ________________	Yes__ No__	Yes__ No__	____	________________	$____ ALL	$____ ALL	$____ ALL	$____ ALL

SERVICE, RESOURCE, ACTIVITY	LIBRARY SYSTEM		SERVICE QUANTITIES AND COSTS — HEADQUARTERS ONLY					
			Quantity of Services Provided Per Year by Headquarters		ALL COSTS TO NEAREST $1,000			
					Direct Costs			
	Service, Resource or Activity Provided By Library System	If not now Provided: Service, Resource or Activity Is Planned Within 2 years	Number	Units	Labor Salaries Only	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/ Grant Amount to Provide Service
3. METHOD OF LOCATING NEEDED MATERIAL								
3.1 NYSILL	Yes__ No__	Yes__ No__	____	items searched				
3.2 System-wide union catalog (specify format) ____________	Yes__ No__	Yes__ No__	____	items searched				
3.3 Electronic databases (e.g., please specify, OCLC, BRODART) ____________ ____________	Yes__ No__	Yes__ No__	____	items searched				
3.6 Other (please specify)____________	Yes__ No__	Yes__ No__	____	items searched	$____ ALL	$____ ALL	$____ ALL	$____ ALL
4. SHARED OR COOPERATIVE OPERATIONAL ACTIVITIES								
4.1 Circulation control	Yes__ No__	Yes__ No__	____ ____	member libraries items circulated (all libraries)	$____	$____	$____	$____
4.2 Collection development	Yes__ No__	Yes__ No__	____	member libraries involved	$____	$____	$____	$____
4.3 Cooperative collection development	Yes__ No__	Yes__ No__	____ ____ ____	collections involved member libraries involved meetings held	$____	$____	$____	$____

	LIBRARY SYSTEM		SERVICE QUANTITIES AND COSTS — HEADQUARTERS ONLY					
			Quantity of Services Provided Per Year by Headquarters		ALL COSTS TO NEAREST $1,000			
					Direct Costs			
SERVICE, RESOURCE, ACTIVITY	Service, Resource or Activity Provided By Library System	If not now Provided: Service, Resource or Activity Is Planned Within 2 years	Number	Units	Labor Salaries Only	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/ Grant Amount to Provide Service
4.4 Acquisitions or ordering	Yes__ No__	Yes__ No__	____	titles acquired/ordered	$____	$____	$____	$____
4.5 Cooperative purchasing	Yes__ No__	Yes__ No__	____	purchasing agreements with vendors				
			____	member libraries participating				
			____	purchases/orders	$____	$____	$____	$____
4.6 Cataloging	Yes__ No__	Yes__ No__	____	titles originally cataloged				
			____	titles copy cataloged	$____	$____	$____	$____
4.7 Retrospective conversion	Yes__ No__	Yes__ No__	____	titles converted	$____	$____	$____	$____
4.8 Catalog production for individual library	Yes__ No__	Yes__ No__	____	catalog card/record sets produced	$____	$____	$____	$____
4.9 Union list/catalog production	Yes__ No__	Yes__ No__	____	copies of lists/catalogs produced	$____	$____	$____	$____
4.10 Physical processing	Yes__ No__	Yes__ No__	____	items processed	$____	$____	$____	$____
4.11 Conservation/preservation	Yes__ No__	Yes__ No__	____	items treated				
			____	items converted to microform				
			____	meetings held	$____	$____	$____	$____

	LIBRARY SYSTEM		SERVICE QUANTITIES AND COSTS — HEADQUARTERS ONLY					
					ALL COSTS TO NEAREST $1,000			
					Direct Costs			
SERVICE, RESOURCE, ACTIVITY	Service, Resource or Activity Provided By Library System	If not now Provided: Service, Resource or Activity Is Planned Within 2 years	Quantity of Services Provided Per Year by Headquarters Number	Units	Labor Salaries Only	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/ Grant Amount to Provide Service
4.12 Reference, referral and research								
4.12.1 Manual searching of printed publications	Yes__ No__	Yes__ No__	____	manual searches	$______	$______	$______	$______
4.12.2 Online bibliographic searching	Yes__ No__	Yes__ No__	____	online searches	$______	$______	$______	$______
4.12.3 Online other database searching	Yes__ No__	Yes__ No__	____	online searches	$______	$______	$______	$______
4.12.4 Referral searching services	Yes__ No__	Yes__ No__	____	referral searches	$______	$______	$______	$______
4.12.5 Research analysis with written reports	Yes__ No__	Yes__ No__	____	research projects	$______	$______	$______	$______
4.12.6 Other (please specify)________	Yes__ No__	Yes__ No__	____	____________________	$______	$______	$______	$______
4.13 Materials examination	Yes__ No__	Yes__ No__	____	items examined	$______	$______	$______	$______
4.14 Delivery services								
4.14.1 Mail delivery	Yes__ No__	Yes__ No__	____	items/packets sent	$______	$______	$______	$______
4.14.2 In-system courier (vans, trucks, etc.)	Yes__ No__	Yes__ No__	____ ____ ____ ____ ____	vehicles items/packets sent delivery days per week member libraries non-member facilities	$______	$______	$______	$______

SERVICE, RESOURCE, ACTIVITY	LIBRARY SYSTEM		SERVICE QUANTITIES AND COSTS — HEADQUARTERS ONLY					
					ALL COSTS TO NEAREST $1,000			
					Direct Costs			
	Service, Resource or Activity Provided By Library System	If not now Provided: Service, Resource or Activity Is Planned Within 2 years	Quantity of Services Provided Per Year by Headquarters Number	Units	Labor Salaries Only	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/ Grant Amount to Provide Service
4.14.3 Telefacsimile	Yes__ No__	Yes__ No__	____	items sent	$____	$____	$____	$____
4.14.6 Other (please specify) ________	Yes__ No__	Yes__ No__	____	items sent	$____	$____	$____	$____
4.15 Recordkeeping for member libraries (e.g., accounting, payroll, billing, etc.)	Yes__ No__	Yes__ No__	____	member libraries	$____	$____	$____	$____
4.16 Consultant services								
4.16.1 Adult	Yes__ No__	Yes__ No__	____	total consultant hours				
4.16.2 Young adult	Yes__ No__	Yes__ No__	____	total consultant hours				
4.16.3 Children's	Yes__ No__	Yes__ No__	____	total consultant hours				
4.16.4 Youth services	Yes__ No__	Yes__ No__	____	total consultant hours				
4.16.5 Audiovisual	Yes__ No__	Yes__ No__	____	total consultant hours				
4.16.6 Outreach	Yes__ No__	Yes__ No__	____	total consultant hours				
4.16.7 General automation and systems	Yes__ No__	Yes__ No__	____	total consultant hours				
4.16.14 Other (please specify)________	Yes__ No__	Yes__ No__	____	total consultant hours	$____ ALL	$____ ALL	$____ ALL	$____ ALL

	LIBRARY SYSTEM		SERVICE QUANTITIES AND COSTS — HEADQUARTERS ONLY					
					ALL COSTS TO NEAREST $1,000			
					Direct Costs			
SERVICE, RESOURCE, ACTIVITY	Service, Resource or Activity Provided By Library System	If not now Provided: Service, Resource or Activity Is Planned Within 2 years	Quantity of Services Provided Per Year by Headquarters Number	Units	Labor Salaries Only	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/ Grant Amount to Provide Service
4.17 Public relations materials and publicity								
4.17.1 Print products (e.g., posters, signs, pamphlets, exhibits, etc.)	Yes__ No__	Yes__ No__	____ ____	print jobs items distributed	$______	$______	$______	$______
4.17.2 Newspaper articles	Yes__ No__	Yes__ No__	____	articles published	$______	$______	$______	$______
4.17.3 Radio programs or spot announcements	Yes__ No__	Yes__ No__	____	programs or announcements prepared	$______	$______	$______	$______
4.17.4 Television programs or spot announcements	Yes__ No__	Yes__ No__	____	programs or announcements prepared	$______	$______	$______	$______
4.17.5 Other (please specify ________	Yes__ No__	Yes__ No__	____	____________________	$______	$______	$______	$______
4.18 Job information								
4.18.1 Job information (under grant)	Yes__ No__	Yes__ No__	____	persons served	$______	$______	$______	$______
4.18.2 Operating center (e.g., JEIC)/ providing service	Yes__ No__	Yes__ No__	____	persons served	$______	$______	$______	$______
4.18.3 Other (please specify) ________	Yes__ No__	Yes__ No__	____	____________________	$______	$______	$______	$______
5. CONTINUING EDUCATION FOR MEMBER LIBRARIES AND PATRONS								
5.1 Workshops								
5.1.1 Member library staff (including library system staff)	Yes__ No__	Yes__ No__	____ ____	one-day workshops held 1/2 day workshops held	record costs on next page			

SERVICE, RESOURCE, ACTIVITY	LIBRARY SYSTEM		SERVICE QUANTITIES AND COSTS — HEADQUARTERS ONLY					
					ALL COSTS TO NEAREST $1,000			
					Direct Costs			
	Service, Resource or Activity Provided By Library System	If not now Provided: Service, Resource or Activity Is Planned Within 2 years	Quantity of Services Provided Per Year by Headquarters Number	Units	Labor Salaries Only	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/ Grant Amount to Provide Service
5.1.2 Board/council members	Yes__ No__	Yes__ No__	____ ____	one-day workshops held 1/2 day workshops held	____ ALL	$____ ALL	$____ ALL	$____ ALL
5.1.4 Adult continuing education	Yes__ No__	Yes__ No__	____ ____	one-day workshops held 1/2 day workshops held				
5.2 Special programs in regular library system meetings	Yes__ No__	Yes__ No__	____	special programs	$____	$____	$____	$____
5.3 Shared professional collections								
5.3.1 For member library and system staff	Yes__ No__	Yes__ No__	____	items in collections	$____ ALL	$____ ALL	$____ ALL	$____ ALL
5.3.2 Other professional groups (please specify)____________ ____________	Yes__ No__	Yes__ No__	____	items in collections				
5.4 Other (please specify)____________	Yes__ No__	Yes__ No__	____	special programs held	$____	$____	$____	$____
6. OUTREACH								
6.1 Literacy	Yes__ No__	Yes__ No__	____	persons served	$____	$____	$____	$____
6.2 English as a second language	Yes__ No__	Yes__ No__	____	persons served	$____	$____	$____	$____

	LIBRARY SYSTEM		SERVICE QUANTITIES AND COSTS — HEADQUARTERS ONLY					
					ALL COSTS TO NEAREST $1,000			
					Direct Costs			
SERVICE, RESOURCE, ACTIVITY	Service, Resource or Activity Provided By Library System	If not now Provided: Service, Resource or Activity Is Planned Within 2 years	Quantity of Services Provided Per Year by Headquarters Number	Units	Labor Salaries Only	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/ Grant Amount to Provide Service
6.3 Service to jails and detention facilities	Yes__ No__	Yes__ No__	____	facilities served	$______	$______	$______	$______
6.4 Service to State correctional facilities	Yes__ No__	Yes__ No__	____	facilities served	$______	$______	$______	$______
6.5 Service to nursing homes	Yes__ No__	Yes__ No__	____	facilities served	$______	$______	$______	$______
6.6 Special service to persons with impairments								
6.6.1 Deaf	Yes__ No__	Yes__ No__	____	persons served	$______	$______	$______	$______
6.6.2 Blind	Yes__ No__	Yes__ No__	____	persons served	$______	$______	$______	$______
6.6.3 Physically handicapped	Yes__ No__	Yes__ No__	____	persons served	$______	$______	$______	$______
6.7 Books by mail	Yes__ No__	Yes__ No__	____	books distributed	$______	$______	$______	$______
6.8 Service to homeless	Yes__ No__	Yes__ No__	____	persons served	$______	$______	$______	$______
6.9 Early childhood development	Yes__ No__	Yes__ No__	____	persons served	$______	$______	$______	$______
6.10 Parenting	Yes__ No__	Yes__ No__	____	persons served	$______	$______	$______	$______
6.11 Aging	Yes__ No__	Yes__ No__	____	persons served	$______	$______	$______	$______
6.12 Other (please specify)________________	Yes__ No__	Yes__ No__	____	____________________	$______	$______	$______	$______

	LIBRARY SYSTEM		SERVICE QUANTITIES AND COSTS — HEADQUARTERS ONLY					
					ALL COSTS TO NEAREST $1,000			
					Direct Costs			
SERVICE, RESOURCE, ACTIVITY	Service, Resource or Activity Provided By Library System	If not now Provided: Service, Resource or Activity Is Planned Within 2 years	Quantity of Services Provided Per Year by Headquarters Number	Units	Labor Salaries Only	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/ Grant Amount to Provide Service
7. COMMUNICATION (NOT COVERED PREVIOUSLY)								
7.1 Electronic mail/bulletin boards	Yes__ No__	Yes__ No__	____	messages sent	$______	$______	$______	$______
7.2 Teleconferencing	Yes__ No__	Yes__ No__	____	messages sent	$______	$______	$______	$______
7.3 System newsletters	Yes__ No__	Yes__ No__	____	copies of newsletters sent	$______	$______	$______	$______
7.4 System memos and flyers	Yes__ No__	Yes__ No__	____	copies of memos and flyers sent	$______	$______	$______	$______
7.5 Other (specify) ______________	Yes__ No__	Yes__ No__	____	______________	$______	$______	$______	$______
8. COMPUTER FACILITIES AND RELATED TELECOMMUNICATIONS (NOT COVERED PREVIOUSLY)								
8.1 Computers	Yes__ No__	Yes__ No__	____	mainframe computer(s)				
			____	minicomputer(s)				
			____	microcomputer(s)	$______	$______	$______	$______
8.2 Terminals and peripherals	Yes__ No__	Yes__ No__	____	terminals				
			____	printers				
			____	modems				
			____	other	$______	$______	$______	$______

	LIBRARY SYSTEM		SERVICE QUANTITIES AND COSTS — HEADQUARTERS ONLY					
					ALL COSTS TO NEAREST $1,000			
					Direct Costs			
SERVICE, RESOURCE, ACTIVITY	Service, Resource or Activity Provided By Library System	If not now Provided: Service, Resource or Activity Is Planned Within 2 years	Quantity of Services Provided Per Year by Headquarters Number	Units	Labor Salaries Only	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/ Grant Amount to Provide Service
8.3 Special purpose equipment	Yes__ No__	Yes__ No__	____	____________	$______	$______	$______	$______
8.4 Computer staff	Yes__ No__	Yes__ No__	____	full-time equivalents	$______	$______	$______	$______
8.5 Telecommunications (specify type)________ ______________________ ______________________	Yes__ No__	Yes__ No__	Not applicable		$______	$______	$______	$______
8.6 Other (please specify) ____________	Yes__ No__	Yes__ No__	____	____________	$______	$______	$______	$______
9. GRANTS FROM SYSTEM FUNDS (NOT COVERED PREVIOUSLY)								
9.1 Materials Grants	Yes__ No__	Yes__ No__	____ ____ ____	grant programs grants awarded recipient libraries	$______	$______	$______	$______
9.2 Cash Grants - General	Yes__ No__	Yes__ No__	____ ____	grants awarded recipient libraries	$______	$______	$______	$______
9.3 Cash Grants - Incentive	Yes__ No__	Yes__ No__	____ ____	grants awarded recipient libraries	$______	$______	$______	$______
9.6 Other (please specify)____________	Yes__ No__	Yes__ No__	____ ____	____________ ____________	$______	$______	$______	$______

SERVICE, RESOURCE, ACTIVITY	LIBRARY SYSTEM		SERVICE QUANTITIES AND COSTS — HEADQUARTERS ONLY					
			Quantity of Services Provided Per Year by Headquarters		ALL COSTS TO NEAREST $1,000			
					Direct Costs			
	Service, Resource or Activity Provided By Library System	If not now Provided: Service, Resource or Activity Is Planned Within 2 years	Number	Units	Labor Salaries Only	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/ Grant Amount to Provide Service
10. ADMINISTRATION OF GRANT PROGRAMS (NOT COVERED PREVIOUSLY)								
10.1 LSCA (Title I and Title III) grants	Yes__ No__	Yes__ No__	____	grants awarded				
			____	recipient libraries	$______	$______	$______	$______
10.2 NEH grants	Yes__ No__	Yes__ No__	____	grants awarded				
			____	recipient libraries	$______	$______	$______	$______
10.3 NY State Council on the Arts grants	Yes__ No__	Yes__ No__	____	grants awarded				
			____	recipient libraries	$______	$______	$______	$______
10.4 Construction grants (state & federal)	Yes__ No__	Yes__ No__	____	grants awarded				
			____	recipient libraries	$______	$______	$______	$______
10.5 Automation grants	Yes__ No__	Yes__ No__	____	grants awarded				
			____	recipient libraries	$______	$______	$______	$______
10.8 Other (please specify)______________	Yes__ No__	Yes__ No__	____	______________				
			____	______________	$______	$______	$______	$______
11. MEMBER LIBRARY PARTICIPATION IN SYSTEM								
11.1 Directors or Librarians Council	Yes__ No__	Yes__ No__	____	persons on Council				
			____	meetings held	$______	$______	$______	$______

	LIBRARY SYSTEM		SERVICE QUANTITIES AND COSTS — HEADQUARTERS ONLY					
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					Direct Costs			
SERVICE, RESOURCE, ACTIVITY	Service, Resource or Activity Provided By Library System	If not now Provided: Service, Resource or Activity Is Planned Within 2 years	Number	Units	Labor Salaries Only	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/ Grant Amount to Provide Service
11.2 Committees representing member libraries	Yes__ No__	Yes__ No__	____	committees				
			____	total persons on all committees				
			____	total meetings held	$______	$______	$______	$______
11.3 Ad hoc questionnaires	Yes__ No__	Yes__ No__	____	questionnaires completed	$______	$______	$______	$______
11.6 Other (please specify)______________	Yes__ No__	Yes__ No__	____	______________	$______	$______	$______	$______
12. DIRECT ACCESS TO MEMBER COLLECTIONS								
12.1 Direct access to any member library	Yes__ No__	Yes__ No__	____	member libraries				
12.2 Intrasystem borrowers card	Yes__ No__	Yes__ No__	____	member libraries				
12.3 Intersystem borrowers card	Yes__ No__	Yes__ No__	____	member libraries				
12.4 Return of books to any library	Yes__ No__	Yes__ No__	____	member libraries				
12.5 Other (please specify) ______________	Yes__ No__	Yes__ No__	____	______________	$______ ALL	$______ ALL	$______ ALL	$______ ALL
13. GENERAL & ADMINISTRATION								
13.1 Library system overhead and administration activities	Yes__ No__	Yes__ No__	Not Applicable		$______	$______	$______	NA

	LIBRARY SYSTEM		SERVICE QUANTITIES AND COSTS — HEADQUARTERS ONLY					
					ALL COSTS TO NEAREST $1,000			
					Direct Costs			
SERVICE, RESOURCE, ACTIVITY	Service, Resource or Activity Provided By Library System	If not now Provided: Service, Resource or Activity Is Planned Within 2 years	Quantity of Services Provided Per Year by Headquarters Number	Units	Labor Salaries Only	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/ Grant Amount to Provide Service
13.2 Administering "pass-through" funds (record amount of such funds in last column, 'Contract/Grant Amount')	Yes__ No__	Yes__ No__	Not Applicable		$______	NA	NA	$______
13.3 Fringe benefits (vacations, sick leave, holidays, pension, insurance, etc.)	Yes__ No__	Yes__ No__	Not Applicable		$______	$______	$______	NA
13.4 Facilities (rent, heat, light, janitorial, etc.)	Yes__ No__	Yes__ No__	Not applicable		NA	NA	$______	NA
13.5 Time devoted to State required paperwork, etc.	Yes__ No__	Yes__ No__	Not applicable		$______	$______	$______	NA
13.7 Legislative and political lobbying	Yes__ No__	Yes__ No__	Not applicable		$______	$______	$______	$______
13.8 Other (please specify) ______________	Yes__ No__	Yes__ No__	Not applicable		$______	$______	$______	$______

PART 2

AUTOMATION

This part deals with general information concerning your Library System HEADQUARTERS ONLY.

1. For each service provided for or by Headquarters, indicate by checking the appropriate box if the service is automated or if automation of the service is being planned or is being considered.

Library System Service	Currently Automated	Planning Automation in Next 2 Years	Considering Automation in Next 5 Years
Circulation	a		
Word Processing	b		
Acquisitions	c		
Cataloging (current)	d		
Retrospective Conversion	e		
Catalog Production/ Maintenance	f		
Public Access Catalog	g		
Materials Booking/Scheduling	h		
Serials Control	i		
Reference (including access to online databases)	j		
Interlibrary Loan	k		
Electronic Document Delivery	l		
Electronic Mail	m		
Budgeting and Accounting	n		
Other* (please specify)	o		
	p		
	q		

* Please indicate any other functions or services that may be supported by automation (e.g., electronic bulletin board)

PART 3

NEEDS, CONCERNS AND ISSUES

This part addresses your experiences and concerns with Library System needs, governance, funding and Division of Library Development involvement.

1. What do you consider to be the most urgent needs of your system? Please list in decreasing order of importance; that is, 1 = most important, 2 = second most important, etc.

Please indicate the basis for determining the needs mentioned above. (Circle all that apply.)

Library member poll.................................... a

My personal opinion.................................... b

Other (please specify) ______________________________

____... c

2. What specific concerns do you have about the future operation and development of your system?

3. What is your opinion as to the most urgent needs of your system members?

General needs (e.g., funding)

System needs for members

4. What concerns have your members expressed about the future operation and development of your library system?

5. Does your system's governance structure pose any problems in terms of your ability to provide needed services? (Circle appropriate response.)

Yes.. 1

No... 2

If 'Yes', please explain.

6. Does your system's governance structure pose any problems in terms of your ability to develop the system's functions?

Yes.. 1

No... 2

If 'Yes', please explain.

7. Please indicate any suggestions you may have for improving the current governance structure of your system.

8. Please indicate any suggestions you may have for alternative governance structures.

9. What do you consider to be your role as Library System in providing leadership in your Library System?

10. Do you consider the current method of allocation of state aid to library systems in New York to be equitable among all the types of library systems?

Yes.. 1

No... 2

Maybe.. 3

If 'No' or "Maybe", please explain.

11. Do you consider the current method of allocation of state aid to public library systems in New York to be equitable among public library systems?

Yes.. 1

No... 2

Maybe.. 3

If "No" or "Maybe", please explain.

12. Please rank your preferred method of allocation of funds (highest-1, second-2, lowest-3).

	Rank
a. Formula..	___
b. Categorical....................................	___
c. Other..	___

13. In what ways do you work or cooperate with other types of library systems? (Please indicate what types of systems in your comments).

14. Do you encounter any problems in these relationships?

Yes.. 1

No... 2

If "Yes", please indicate the types of problems encountered.

15. Please indicate ways in which intersystem cooperation can be improved.

16. What concerns do you have about the development and adoption of performance measures and accountability measures for public library systems in New York? (Please circle all that apply.)

Time and other resources needed to collect data....... a

Time needed to analyze data and interpret measures.... b

Skills needed to analyze data and interpret measures.. c

Accuracy of data.. d

Utility of measures....................................... e

Misuse of measures.. f

Relative ease of gathering quantitative data.......... g

Relative complexity of gathering qualitative data..... h

Can't set up identical accountability measures for different types of systems.......................... i

Other (please specify)______________________________

____

____... j

PART 1

LIBRARY SYSTEM SERVICES, RESOURCES, AND ACTIVITIES PROVIDED BY CENTRAL LIBRARY

INSTRUCTIONS

The purpose of this part of the questionnaire is to obtain information about (1) the type of services provided to Library System members by your Central Library, and (2) the quantity and cost of services provided by your Central Library. These data will be used for our study results and recommendations. However, they can also be used by Central Library Directors to help them allocate their resources and make decisions in the future.

Limit your responses to amount of those services (e.g., interlibrary loans), resources (e.g., staff, terminals, etc.) or activities (e.g., centralized cataloging) provided by your Central Library for use by library system members or others covered by your Central Library agreement. Do not include amount of services provided to your local community patrons.

The **first column** lists services, resources or activities that might be provided by your Central Library. If there are services that your Central Library provides but which are not listed, please record the additional services under an appropriate row indicated by 'Other (please specify)'. Note that a composite list of library system services is provided to help you identify additional services provided by your Central Library that are not listed on the questionnaire. The codes on the questionnaire (e.g., 1.1, 4.12.1) correspond to codes for all services on the composite list and, therefore, all of the codes are not on your questionnaire.

Quantity of services (2nd column) and cost of services (3rd - 6th column) should be reported ONLY FOR CENTRAL LIBRARY SERVICES PROVIDED TO LIBRARY SYSTEM MEMBERS AND OTHERS COVERED BY THE CENTRAL LIBRARY AGREEMENT.

For quantity of services (2nd column) indicate (in the blank) the quantities or amount of services, resources or activities currently provided by your Central Library. Some Central Libraries do not provide certain services. Therefore, these quantities can be left blank. If exact amounts are not known, please estimate the amounts to your best ability and

record the amounts with an E (e.g., 2,000E items). If you cannot make a reasonable estimate, please record 'DK' for don't know. It is best to indicate 'DK' rather than merely guessing. Note that most units of services imply the amounts of services provided in a recent year (e.g., 2,000 items loaned per year). Recent year is 1987, 1986/87 or any recent 12 month period in which known data are available.

There are four columns under cost data: (1) Direct-Labor Salaries and Wages Only, (2) Direct-Other Variable, (3) Direct-Fixed, and (4) Contract/Grant Amount.

The purpose of the cost data is to obtain an indication of costs associated with each service, resource or activity provided by your Central Library. The costs should reflect those costs incurred during the same year as data reported for quantity of services. Please complete this part with your best estimate of costs ($) to the nearest $1,000 (unless the total amount is under $10,000 in which case provide to nearest $100).

WE MERELY REQUIRE APPROXIMATE ESTIMATES OF COSTS IF ACTUAL COST DATA ARE NOT READILY AVAILABLE. HOWEVER, RECORD COSTS WITH AN 'E' IF MADE BY ROUGH ESTIMATE (E.G., $135,000E). RECORD 'DK' FOR DON'T KNOW FOR THOSE COSTS YOU FEEL YOU CAN NOT ADEQUATELY ESTIMATE.

DIRECT-LABOR SALARIES & WAGES COSTS should involve your best estimate of the amount of salaries or wages of staff allocated to the time they actually spent providing each service. Labor includes professional staff (e.g., administrators, librarians, etc.), library technicians/paraprofessionals, and clerical/support staff (e.g., data entry technicians, drivers, secretaries, etc.). **DO NOT INCLUDE FRINGE BENEFITS SUCH AS VACATION, HOLIDAYS, SICK LEAVE, RETIREMENT FUND, INSURANCE, ETC. (EXCEPT UNDER ITEM 13.3).** Please estimate direct labor costs to the nearest $1,000 (unless the total amount is under $10,000 in which case provide to nearest $100). For example, your Central Library might process interlibrary loan requests and/or provide interlibrary loans such as journal articles. Direct labor might involve staff time to process requests, refer requests not available by your Central Library, pull journal issues, photocopy articles, shelve journal issues, send to requesting library. If 50 percent of one's time is devoted to these activities, the labor cost could be estimated by multiplying that person's salary or wage times 0.50.

DIRECT-OTHER VARIABLE COSTS are those non-labor costs that are directly incurred as a result of providing a service. Other variable costs would be those costs that are directly related to providing the services. For example, online bibliographic searches might have line charges, hit rate charges, photocopying, etc. as other (non-labor) variable costs. These costs vary with the number of searches performed. Again, please estimate other direct costs to the nearest $1,000 (unless the total amount is under $10,000, in which case provide to nearest $100). These costs should be identified with or related to amount of services provided. For example, your Central Library might provide 10,000 photocopies of articles to Library System members. Photocopy equipment costs (say, at 4 cents per page and 10 pages per article) might be reported as $4,000.

TOTAL-DIRECT FIXED COSTS include those fixed costs that are incurred one-time or on a recurring basis (e.g., monthly or annually) in order to provide a service. These costs will not vary by amount of services provided or number of transactions done. Examples include OCLC annual fees, allocation of computer equipment or vehicles, purchase of special equipment for the blind and so on. If these costs are depreciated, for example, use 5 years or your current accounting practice. If not 5 years, please indicate number of years. If direct fixed costs are shared among services, please provide your best estimate of the proportion allocated to a service by amount of time used and so on. For example, if a photocopying machine is leased at $800 per month and one-fifth of its photocopies involve interlibrary loan of journal articles, the allocated direct fixed costs would be $1,900 (i.e., $800 x 12 x 0.20 to the nearest $100). Estimates of costs should be to the nearest $1,000 (unless the total amount is under $10,000 in which case provide to nearest $100).

CONTRACT/GRANT AMOUNT (does not apply to most Central Libraries). They include funds contracted to member libraries or others to perform a service, provide resources or perform activities. These contracts would include services primarily provided for benefit of a library system and its members. Contract or grant amounts should be exact or, if not known, to nearest $1,000.

NOTES ON SERVICE QUANTITIES AND COSTS

Include costs associated with handling materials, recordkeeping, administration, etc. for each service.

1. ACCESS TO MATERIALS

1.1, 1.2. Library loan costs should NOT include delivery costs (e.g., postage, courier, etc.). These costs should be included under 4.14 - Delivery services.

Do include requests that are referred to member libraries or elsewhere.

4.9 Retrospective Conversion

Number of copies of lists include all such copies (i.e., number of types of lists times number of issues per year times number of copies per issue).

8. COMPUTER FACILITIES & TELECOMMUNICATIONS

Include computers used by Central Library staff in performing their library system-related duties as well as computer systems shared by library system members.

Quantities should include all items, even though dedicated to specific services.

Costs should include only those costs not recorded for other services. Thus, it may be best to record costs for this resource at the end of completing the questionnaire.

9. GRANTS FROM SYSTEM FUNDS (Probably does not apply to Central Libraries)

Include only the cost of activities associated with administering grants here. Include associated ILL activities in 1.1 or 1.2; include acquisitions in 4.4; and so on.

11. MEMBER LIBRARY PARTICIPATION IN SYSTEM AS CENTRAL LIBRARY (NOT AS MEMBER LIBRARY)

Include costs associated with attending meetings or setting up meetings, meeting rooms (if paid for), etc. Include travel costs, participant salaries, fees or stipends.

13. GENERAL & ADMINISTRATION (FOR CENTRAL LIBRARY ONLY)

13.1 Central Library overhead and administration costs should include Central Library director and support staff time not devoted to specific services. Some word processing equipment time might be allocated to this service.

13.3 Fringe benefits costs would include vacation, sick leave, holidays, personal time, etc. to be recorded under Labor Salaries Only - Direct Costs; pension, insurance, etc. to be recorded under Other Variable - Direct Costs.

13.4 Facilities (rent, heat, light, janitorial, etc.) costs to be recorded under Fixed - Direct Costs.

PART 1
LIBRARY SYSTEM SERVICES, RESOURCES AND ACTIVITIES PROVIDED BY CENTRAL LIBRARY (CL)

SERVICE, RESOURCE, ACTIVITY	SERVICE QUANTITIES AND COSTS — CENTRAL LIBRARY					
	Quantity of Library System Services Provided Per Year by Central Library		ALL COSTS TO NEAREST $1,000			
			Direct Costs			
	Number	Units	Only Labor Salaries and Wages	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/Grant Amount to Provide Service
1. ACCESS TO MATERIALS						
1.1 Interlibrary loan (ILL) request processing/referral						
- both borrowing and lending libraries within library system	(a)_____	request forms (processed)				
- borrowing library within system, lending library out of system	(b)_____	request forms (processed)				
- borrowing library out of system, lending library within system	(c)_____	requests forms (processed)				
	_____	total requests (a + b + c)	$_________ ALL REQUESTS	$_________ ALL REQUESTS	$_________ ALL REQUESTS	$ NA ALL REQUESTS
1.2 Interlibrary loan of materials						
- borrowing library within library system	(a)_____	items LOANED by Central Library				
- borrowing library out of system	(b)_____	items LOANED by Central Library				
- lending library within library system	(c)_____	items BORROWED by Central Library for patrons who do not live in local community				
- lending library out of system	(d)_____	items BORROWED by Central Library for patrons who do not live in local community				
IF YOU CAN NOT DISTINGUISH BETWEEN (A) AND (B) OR (C) AND (D) GIVE TOTALS ONLY	_____	total items LOANED by Central Library (a + b)	$_________ LOANS	$_________ LOANS	$_________ LOANS	$ NA LOANS
	_____	total items BORROWED by Central Library for patrons who do not live in local community (c + d)	$_________ BORROW	$_________ BORROW	$_________ BORROW	$ NA BORROW

NOTE: DO NOT INCLUDE DELIVERY COSTS

SERVICE, RESOURCE, ACTIVITY	SERVICE QUANTITIES AND COSTS — CENTRAL LIBRARY					
	Quantity of Library System Services Provided Per Year by Central Library		ALL COSTS TO NEAREST $1,000			
			Direct Costs			
	Number	Units	Only Labor Salaries and Wages	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/ Grant Amount to Provide Service
1.4 Bulk collection(s) from book collections maintained at Central Library	____	books				
	____	other items	$______	$______	$______	$______
1.6 Direct access by patrons who do not live in local community	____	items circulated from Central Book Aid collection				
	____	items circulated from 'Local Community' collection				
	____	total items circulated (if can not make distinction)				
	____	in-house readings or reference from Central Book Aid collection				
	____	in-house readings or reference from 'Local Community' collection				
	____	total in-house readings or reference (if can not make distinction)	$______	$______	$______	$______
	QUANTITIES FOR PATRONS WHO DO NOT LIVE IN LOCAL COMMUNITY ONLY					
1.7 Other (please specify)________________	____	______________________________	$______	$______	$______	$______

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SERVICE, RESOURCE, ACTIVITY	SERVICE QUANTITIES AND COSTS — CENTRAL LIBRARY					
	Quantity of Library System Services Provided Per Year by Central Library		ALL COSTS TO NEAREST $1,000			
			Direct Costs			
	Number	Units	Only Labor Salaries and Wages	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/Grant Amount to Provide Service
3. METHOD OF LOCATING NEEDED MATERIAL						
3.2 System-wide union catalog (specify format) ______	____	items searched	$____ ALL	$____ ALL	$____ ALL	$ NA ALL
3.3 Electronic databases (e.g., please specify, OCLC, BRODART) ______ ______	____	items searched				
3.6 Other (please specify)______	____	items searched				
4. SHARED OR COOPERATIVE OPERATIONAL ACTIVITIES						
4.12 Reference, referral and research						
4.12.1 Manual searching of printed publications	____	manual searches	$____	$____	$____	$ NA
4.12.2 Online bibliographic searching	____	online searches	$____	$____	$____	$ NA
4.12.3 Online other database searching	____	online searches	$____	$____	$____	$ NA
4.12.4 Referral searching services	____	referral searches	$____	$____	$____	$ NA

SERVICE, RESOURCE, ACTIVITY	SERVICE QUANTITIES AND COSTS — CENTRAL LIBRARY					
	Quantity of Library System Services Provided Per Year by Central Library		ALL COSTS TO NEAREST $1,000			
			Direct Costs			
	Number	Units	Only Labor Salaries and Wages	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/ Grant Amount to Provide Service
4.12.5 Research analysis with written reports	____	research projects	$____	$____	$____	$ NA
4.12.6 Other (please specify)________	____	____________	$____	$____	$____	$ NA
	QUANTITIES FOR PATRONS WHO DO NOT LIVE IN LOCAL COMMUNITY AND MEMBER LIBRARIES					
4.14 Delivery services						
4.14.2 In-system courier (vans, trucks, etc.)	____	items/packets sent	$____	$____	$____	$ NA
4.14.3 Telefacsimile	____	items sent	$____	$____	$____	$ NA
4.18 Job information						
4.18.1 Job information (under grant)	____	persons served	$____	$____	$____	$ NA
4.18.2 Operating center (e.g., JEIC)/ providing service	____	persons served	$____	$____	$____	$ NA
4.18.3 Other (please specify) ________	____	____________	$____	$____	$____	$ NA

SERVICE, RESOURCE, ACTIVITY	SERVICE QUANTITIES AND COSTS — CENTRAL LIBRARY					
	Quantity of Library System Services Provided Per Year by Central Library		ALL COSTS TO NEAREST $1,000			
			Direct Costs			
	Number	Units	Only Labor Salaries and Wages	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/ Grant Amount to Provide Service
5. CONTINUING EDUCATION FOR MEMBER LIBRARIES AND PATRONS						
5.1 Workshops provided as Central Library function						
5.1.1 Member library staff (including library system staff)	____	one-day workshops held				
	____	1/2 day workshops held				
5.1.4 Adult continuing education	____	one-day workshops held				
	____	1/2 day workshops held	____ ALL	$____ ALL	$____ ALL	$ NA ALL
5.2 Special programs in regular library system meetings	____	special programs	$____	$____	$____	$ NA
5.3 Shared professional collections						
5.3.1 For member library and system staff	____	items in collections	$____	$____	$____	$ NA
7. COMMUNICATION (NOT COVERED PREVIOUSLY)						
7.1 Electronic mail/bulletin boards	____	messages sent	$____	$____	$____	$ NA
7.3 System newsletters	____	articles written	$____	$____	$____	$ NA
7.4 System memos and flyers	____	copies of memos and flyers sent	$____	$____	$____	$ NA
7.5 Other (specify) ____	____	____	$____	$____	$____	$ NA

SERVICE, RESOURCE, ACTIVITY	SERVICE QUANTITIES AND COSTS — CENTRAL LIBRARY					
	Quantity of Library System Services Provided Per Year by Central Library		ALL COSTS TO NEAREST $1,000			
			Direct Costs			
	Number	Units	Only Labor Salaries and Wages	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/ Grant Amount to Provide Service
8. COMPUTER FACILITIES AND RELATED TELECOMMUNICATIONS SERVING CENTRAL LIBRARY FUNCTIONS (NOT COVERED PREVIOUSLY)						
8.1 Computers	____ ____ ____	mainframe computer(s) minicomputer(s) microcomputer(s)	$____	$____	$____	$ NA
8.2 Terminals and peripherals	____ ____ ____ ____	terminals printers modems other	$____	$____	$____	$ NA
8.3 Special purpose equipment	____	____________	$____	$____	$____	$ NA
8.4 Computer staff	____	full-time equivalents	$____	$____	$____	$ NA
8.5 Telecommunications (specify type)________ ____________ ____________	Not applicable		$____	$____	$____	$ NA
8.6 Other (please specify) ____________	____	____________	$____	$____	$____	$ NA
10. ADMINISTRATION OF GRANT PROGRAMS (NOT COVERED PREVIOUSLY)						
10.8 Central Library Development Aid	____	____________	$____	$____	$____	$____

SERVICE, RESOURCE, ACTIVITY	SERVICE QUANTITIES AND COSTS — CENTRAL LIBRARY					
	Quantity of Library System Services Provided Per Year by Central Library		ALL COSTS TO NEAREST $1,000			
			Direct Costs			
	Number	Units	Only Labor Salaries and Wages	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/ Grant Amount to Provide Service
11. MEMBER LIBRARY PARTICIPATION IN SYSTEM						
11.2 Committees concerning Central Library matters	____ ____ ____	committees total persons on all committees total meetings held	$______	$______	$______	$ NA
11.3 Ad hoc questionnaires	____	questionnaires completed	$______	$______	$______	$ NA
11.6 Other (please specify)____________	____	______________	$______	$______	$______	$ NA
13. GENERAL & ADMINISTRATION (ALLOCATED TO CENTRAL LIBRARY ONLY)						
13.1 Center Library overhead and administration activities	Not Applicable		$______	$______	$______	$ NA
13.3 Fringe benefits (vacations, sick leave, holidays, pension, insurance, etc.)	Not Applicable		$______	$______	$______	$ NA
13.4 Facilities (rent, heat, light, janitorial, etc.)	Not applicable		$ NA	$ NA	$______	$ NA
13.5 Time devoted to State required paperwork, etc.	Not applicable		$______	$______	$______	$ NA
13.7 Legislative and political lobbying	Not applicable		$______	$______	$______	$______
13.8 Other (please specify) ____________	Not applicable		$______	$______	$______	$______

	SERVICE QUANTITIES AND COSTS — CENTRAL LIBRARY					
	Quantity of Library System Services Provided Per Year by Central Library		ALL COSTS TO NEAREST $1,000			
			Direct Costs			
SERVICE, RESOURCE, ACTIVITY	Number	Units	Only Labor Salaries and Wages	Other Variable (e.g., Photo-copying)	Fixed (e.g., OCLC Fee, Amortization of Computer)	Contract/Grant Amount to Provide Service
14. OTHER (NOT COVERED ABOVE)						
Code Item						
			$	$	$	$
			$	$	$	$
			$	$	$	$
			$	$	$	$
			$	$	$	$
			$	$	$	$
			$	$	$	$
			$	$	$	$
			$	$	$	$
			$	$	$	$
			$	$	$	$
			$	$	$	$
			$	$	$	$
			$	$	$	$
			$	$	$	$
			$	$	$	$
			$	$	$	$
			$	$	$	$

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PART 2

AUTOMATION

This part deals with general information concerning your CENTRAL LIBRARY FUNCTIONS ONLY. AUTOMATION CAN BE FOR CENTRAL LIBRARY SERVICES ONLY OR SHARED WITH SERVICES PROVIDED TO PATRONS IN LOCAL COMMUNITY.

1. For each service provided for or by Central Library, as part of library system agreement, indicate by checking the appropriate box if the service is automated (for Central Library (CL) services only or shared with services provided to patrons in local community) or if automation of the service is being planned or is being considered.

	Currently Automated		Planning Automation in Next 2 Years	Considering Automation in Next 5 Years
Library System Service	CL only	Shared		
a. Circulation				
b. Word Processing				
c. Acquisitions				
d. Cataloging (current)				
e. Retrospective Conversion				
f. Catalog Production/ Maintenance				
g. Public Access Catalog				
h. Materials Booking/Scheduling				
i. Serials Control				
j. Reference (including access to online databases)				
k. Interlibrary Loan				
l. Electronic Document Delivery				
m. Electronic Mail				
n. Budgeting and Accounting				
Other* (please specify) o.				
p.				
q.				

* Please indicate any other functions or services that may be supported by automation (e.g., electronic bulletin board)

PART 3
OTHER CENTRAL LIBRARY INFORMATION

Some of the data requests below may be hard to obtain. If you do not have data readily available:

1. If you can make a reasonable estimate, record the number or amount and place an 'e' after it (e.g., 1,250e).
2. If you can make a 'reasonable' guess, place a 'g' after the number (e.g., 1,250g).
3. If you have no idea of the number or amount, please indicate 'Unk' for unknown.

If the question does not apply to your Central Library services or activities, please indicate so with 'NA' for not applicable.

1. Please indicate the approximate number of PATRONS AND VISITS, for patrons who do not live in the local community, local community patrons and all (total) patrons.

Patrons Not In Local Community (a)	Local Community Patrons (b)	All Patrons (a + b)	
______	______	______	patrons
______	______	______	visits

2. Approximately what proportion of Central Library USES are for the following purposes?

a. Recreational.................................... _____%

b. Educational..................................... _____%

c. Research.. _____%

d. Financial....................................... _____%

e. Other Professional or Business.................. _____%

f. Other (please specify)______________________

____... _____%

____... _____%

Total 100 %

3. What is the approximate range of DISTANCE of your patrons who do not live in the local community?

   a. Less than 10 miles.................................. _____%

   b. 10 to 24 miles...................................... _____%

   c. 25 to 49 miles...................................... _____%

   d. 50 to 100 miles..................................... _____%

   e. Over 100 miles...................................... _____%

   Total _100_%

4. Please indicate the approximate amount of CIRCULATION to patrons who do not live in the local community, local community patrons, and all patrons for items from the CENTRAL BOOK AID COLLECTION AND 'LOCAL COMMUNITY' COLLECTION.

	Patrons Not In Local Community	Local Community Patrons	All Patrons	
a. Central Book Aid	______	______	______	items circulated
b. 'Local Collection'	______	______	______	items circulated
c. Total (if can not distinguish)	______	______	______	items circulated

5. Please indicate the approximate number of ILL ITEMS BORROWED for patrons who do not live in the local community, local community patrons, and all patrons.

Patrons Not In Local Community	Local Community Patrons	All Patrons	
______	______	______	ILL items borrowed

(see Item 1.2)

6. Please indicate amount of reference, referral and research performed for patrons who do not live in the local community, other member libraries, local community patrons and all patrons and members.

	Patrons Not In Local Community	Other Member Libraries	Local Community Patrons	All	
Manual searching of printed publications					manual searches
Online bibliographic searching...........					online searches
Online other database searching...........					online searches
Referral searching services............					referral searches
Research analysis with written reports					research projects
Other (please specify)					

7. What is the approximate size of last year's (1987 or most recent 12 months in which data are available) acquisitions and total collection for the CENTRAL BOOK AID COLLECTION ONLY?

	Last Year Acquisition		Total Collection	
Books & Monographs*		volumes		volumes (incl. bound periodicals)
Journals & Periodicals		titles	NA	
Other (please specify)				

* Include number of books, government documents, pamphlets and microfilmed print materials.

8. What is the approximate size of last year's acquisitions and total collection for YOUR LIBRARY'S NON-CENTRAL BOOK AID COLLECTION?

	Last Year Acquisition	Total Collection
Books & Monographs*	_______ volumes	_______ volumes (incl. bound periodicals)
Journals & Periodicals	_______ titles	NA
Audiovisual Materials**	_______ items	_______ items
Other (please specify)		
____________________	_______	_______
____________________	_______	_______
____________________	_______	_______
____________________	_______	_______

* Include number of books, government documents, pamphlets and microfilmed print materials.

** Include films, filmstrips, records, tapes, cassettes, slides, art prints, kits, maps, etc.

9. What is the character of last year's CENTRAL BOOK AID acquisitions?

	Percent of CENTRAL BOOK AID COLLECTION
Breadth (i.e., subject areas not in "local community" collection)...........................	_______%
Breadth (i.e., type of materials not in "local community" collection)...........................	_______%
Depth (i.e., more materials in subject areas already in "local community" collection)........	_______%
Other (please specify) ____________________...	_______%
____...	_______%
____...	_______%

10. Please indicate the most recent annual cost of processing your CENTRAL BOOK AID collection.

	ALL DIRECT COSTS TO NEAREST $1,000		
	Only Labor Salaries and Wages	Other Variable (e.g., purchase of materials, photocopying, etc.	Fixed (e.g., OCLC fee, allocated space, shelves, etc.)
Collection development.....	$________	$________	$________
Collection management (withdrawal, binding, etc.)	$________	$________	$________
Shelving and reshelving (incl. return to shelves, shelves themselves, and space).....................	$________	$________	$________
Acquisitions and ordering control....................	$________	$________	$________
Mail processing and receipt processing.................	$________	$________	$________
Cataloging.................	$________	$________	$________
Catalog maintenance........	$________	$________	$________
Physical processing (property stamps, spine labels, etc.)..............	$________	$________	$________
Other (please specify)_____			
______________________...	$________	$________	$________
______________________...	$________	$________	$________

PART 4

NEEDS, CONCERNS AND ISSUES

This part addresses your experiences and concerns with Central Library needs, governance, funding and Division of Library Development involvement.

1. What do you consider to be the most urgent needs of your Central Library? Please list in decreasing order of importance; that is, 1 = most important, 2 = second most important, etc.

Please indicate the basis for determining the needs mentioned above. (Circle all that apply.)

My personal opinion.................................... a

Other (please specify) ______________________________

____... b

2. What specific concerns do you have about the future operation and development of your Central Library?

3. Does your library system's governance structure pose any problems in terms of your ability to provide needed services? (Circle appropriate response.)

Yes.. 1

No.. 2

If 'Yes', please explain.

4. Please indicate any suggestions you may have for improving the current governance structure of your library system.

5. Please indicate any suggestions you may have for alternative governance structures.

6. Do you consider the current method of allocation of state aid to library systems in New York to be equitable among all the types of library systems?

Yes.. 1

No.. 2

Maybe.. 3

If 'No' or "Maybe", please explain.

7. Do you consider the current method of allocation of state aid to Central Libraries in New York to be equitable among Central Libraries?

Yes.. 1

No.. 2

Maybe.. 3

If "No" or "Maybe", please explain.

8. Please rank your preferred method of allocation of funds (highest-1, second-2, lowest-3).

	Rank
a. Formula..	___
b. Categorical..	___
c. Other..	___

9. What do you consider to be the three most important services provided by your Central Library? (Rank in order from most important to least important of the three services.)

1. ____

____

____

2. ____

____

____

3. ____

____

____

10. What concerns do you have about the development and adoption of performance measures and accountability measures for Central Libraries in New York? (Please circle all that apply.)

Time and other resources needed to collect data.......	a
Time needed to analyze data and interpret measures....	b
Skills needed to analyze data and interpret measures..	c
Accuracy of data..................................	d
Utility of measures...............................	e
Misuse of measures................................	f
Relative ease of gathering quantitative data..........	g
Relative complexity of gathering qualitative data.....	h
Can't set up identical accountability measures for different types of systems and Central Libraries......	i
Other (please specify)______________________________ ____ ____...	j

King Research, Inc.

6000 Executive Boulevard, Rockville, Maryland 20852 (301) 881-6766

Dear Library Director:

King Research has been commissioned by the New York State Library and the State Education Department to perform a "Study of Library Systems and Services in New York". The purposes of this study are to:

- examine and analyze the way New York's library systems are actually working today,
- compare that to the intent of library laws and regulations and to the needs for library services which consequently affect all state residents, and
- recommend changes and justify such recommendations where changing conditions indicate the need for them.

In particular, the study is addressed to five components:

- Mission and services
- Governance
- Intersystem relationships and cooperation
- Funding
- Measurement

In order to accomplish the objectives, we are collecting data from four main sources:

- Library System Members and Non-Members. Data will be collected from a sample survey of library system members (and, to a lesser degree, non-members) across the State. A small subset of library system members will be selected to participate in an in-depth cost survey.
- Library Systems and Central Libraries. Data will be collected from all 3Rs, public library and school library systems as well as central libraries. Information and data will be collected from the library systems in three ways: data reported to the State Library and other available information, data collection instrument to be self-administered by the systems, and personal interviews by KRI staff with staff of each system.
- Review and Analysis of Secondary Sources of Information. In addition to data collected from and about library systems and system members and non-members, data will be collected from other appropriate sources such as the State Library staff, other states, and other library systems studies.

New York State will use the data and recommendations from the study to plan for library systems and services in the 1990s.

The purpose of the project is not to evaluate individual Library Systems nor to compare them, but, rather, to describe how Library Systems work, assess them in general, and make recommendations based on the current and likely future environment.

To accomplish the objectives above, it is necessary to obtain certain information about the extent to which Library System (and alternative) services are used by libraries. Your library was chosen by means of a random sample to participate in the project as a non-member library. We anticipate that your use of Library System Services will be slight, but this in itself is important information.

Attached to the questionnaire is a composite list of Library System services, resources and activities. Some of these services are not likely to be used by your library, but might be useful for reference in case they are. Also attached are instructions for Part 1 of the questionnaire and a short glossary of terms. These attachments are given separately from the questionnaire to facilitate your reference to them while filling out the questionnaire.

We recognize the burden of providing such detailed information, but we require this level of detail to achieve the objectives of the study. Please provide your best estimates of quantity of services used and provided by your library.

The attached data collection form is confidential and data will not be revealed except in aggregated form (i.e., across all libraries).

The last such study was done 20 years ago and, therefore, the study results and recommendations are likely to have an effect on library systems and services provided to your library for a long time.

Please return the completed questionnaire, if possible, within two weeks. After you have returned the questionnaire we may call you to clarify your responses. If you have any questions concerning the data required, please contact Dr. Jose-Marie Griffiths, Mr. Donald W. King or Mr. Laurence Lannom at 301/881-6766.

Your cooperation is very much appreciated.

Sincerely,

José-Marie Griffiths

Donald W. King

Jose-Marie Griffiths
Donald W. King

King Research, Inc.

6000 Executive Boulevard, Rockville, Maryland 20852 (301) 881-6766

Dear Library System Director:

As you know, King Research has been commissioned by the New York State Library and the State Education Department to perform a "Study of Library Systems and Services in New York." We have already contacted you to request information on your provision of services to member libraries and other topics. Library System response to the survey has been extremely useful and we thank you for the time and effort already expended on this project. We have also gathered data from member libraries on their use of system services. As a Public or School Library System, you are a member of a 3Rs system and we now need to gather information on your participation in the 3Rs system.

The enclosed questionnaire is a reduced version of the one sent to non-system members of 3Rs systems, in which we have eliminated those questions which you were asked in the previous survey.

Attached to the questionnaire is a composite list of Library System services, resources and activities. Some of these services are not likely to be used by your Library System, but might be useful for reference in case they are. Also attached are instructions for Part 1 of the questionnaire and a short glossary of terms. These attachments are given separately from the questionnaire to facilitate your reference to them while filling out the questionnaire.

The attached data collection form is confidential and data will not be revealed except in aggregated form (i.e., across all Library System members).

Please return the completed questionnaire, within two weeks, if possible. After you have returned the questionnaire we may call you to clarify your responses. If you have any questions concerning the data required, please contact Dr. Jose-Marie Griffiths, Mr. Donald W. King or Mr. Laurence Lannom at 301/881-6766.

Your cooperation is again very much appreciated.

Sincerely,

José-Marie Griffiths
Donald W. King

Jose-Marie Griffiths
Donald W. King

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PART 1

USE OF LIBRARY SERVICES

INSTRUCTIONS

The purpose of this part of the questionnaire is to obtain information about (1) the type and amount of Library System services used by your library, and (2) your satisfaction with the services and the importance of them to your library.

Limit your responses to amount of those services (e.g., interlibrary loans), resources (e.g., staff, terminals, etc.) or activities (e.g., centralized cataloging) used by your library.

The first column lists services, resources or activities that might be used by your library. If there are services that your library uses but which are not listed, please record the additional services at the end of Part 1 under appropriate rows. Note that a composite list of library system services is provided to help you identify additional services used (and provided) by your library that are not listed on the questionnaire. The codes on the questionnaire (e.g., 1.2, 4.12.1) correspond to codes for all of the services on the composite list and, therefore, all of the codes are not on your questionnaire.

The next five columns are to record AMOUNT of SERVICES used (e.g., number of items borrowed by ILL) for different SOURCES of SERVICES. Each column indicates the source of the service (e.g., Public Library System). The UNITS of SERVICES denote the amounts of services to be recorded (e.g., items borrowed). On the questionnaire are given examples for interlibrary borrowing (items 1.1 and 1.2). In the example the library borrowed 200E books through the Public Library System, 800E from the Central Library, and 50E from another system, library or service. In the example the library did not have exact data and therefore provided estimates, designated with an E.

For quantity of services indicate (in the blank) the quantities or amount of services, resources or activities provided by the sources which are currently used by your library. Some libraries do not use external sources for many services. Therefore, these quantities can be left blank. If exact amounts are not known, please estimate the amounts to your best ability and record the amounts with an E (e.g., 2,000E items). If you cannot make a reasonable estimate, please record 'DK' for don't know. It is best to indicate 'DK' rather than merely guessing. Note that most units of services imply the amounts of services used in a recent year (e.g., 200 items borrowed per year). Recent year is 1987, 1986/87 or any recent 12 month period in which known data are available.

NOTE: IF THE 'UNITS OF SERVICES USED' IS 'NA', RECORD ONLY AN 'X' TO DESIGNATE SOURCE(S) OF THE SERVICE USED BY YOUR LIBRARY.

In the next to last column, please rate (from 1 to 5) your level of satisfaction with the service. Give a 1 for very dissatisfied, 2 for dissatisfied, 3 for neither satisfied nor dissatisfied, 4 for satisfied, and 5 for very satisfied.

Leave this column blank if the service is not used.

Note that if you receive a service from more than one source you need to provide multiple satisfaction ratings (simply give them in the same order that appear in the columns of sources, i.e., Public Library Systems, Central Libraries, 3Rs, etc.).

In the last column rate (from 1 to 5) the level of importance of the service to your library. Give a 1 for very unimportant, 2 for unimportant, 3 for neither unimportant nor important, 4 for important, and 5 for very important.

In the example, the library is very satisfied (5) with ILL services provided by the Public Library System and Central Library, but dissatisfied (2) with services provided by other library or service. The library finds the service to be very important (5).

Leave the last column blank if the service is not used.

ANSWER ONLY FOR THOSE SYSTEM SERVICES USED BY YOUR LIBRARY.

PART 2

YOUR LIBRARY'S PROVISION OF SERVICES TO OTHER LIBRARIES

INSTRUCTIONS

Some individual libraries provide services to other libraries. If your library provides such services, please write in the code and name of the service in the first column. Also, indicate what type of libraries your library served and the approximate amount of services provided to each type of library in 1987. The unit of service provided should be written in the last column. PLEASE REFER TO THE ATTACHMENT FOR CODE NUMBER, NAME OF SERVICE AND UNITS OF SERVICE.

EXAMPLES ARE GIVEN IN THE FIRST FOUR LINES.

PART 1

USE OF LIBRARY SYSTEM SERVICES

(see Part 1 Instructions)

Type of Service	Amount of Service by Source of Service					Units of Service Used	**SATISFACTION** With Service (1-Very Dissatisfied to 5-Very Satisfied)	**IMPORTANCE** of Service (1-Very Unimportant to 5-Very Important)
	Public Library System (Number)	Central Library (Number)	3Rs (Number)	School Library System (Number)	Other System, Library or Service (Number)			
Example:								
1.2 Interlibrary borrowing	200E	800E			50E	books borrowed	5, 5, 2	5
1.2 Interlibrary borrowing			1,200E		100E	articles (photocopies) borrowed		
1.2 Interlibrary borrowing	50E		100E			other items borrowed		
1. ACCESS TO MATERIALS								
1.1 Interlibrary loan (ILL) request processing/referral						requests made		
1.2 Interlibrary borrowing						books borrowed		
1.2 Interlibrary borrowing						articles (photocopies) borrowed		
1.2 Interlibrary borrowing						other items borrowed		
1.3 Rotating collections (i.e., collections that rotate from library to library in the system						number of collections		
1.4 Pool collection (s) (loans from shared system pool(s) that is permanently maintained by headquarters or elsewhere)						books		
1.5 Bookmobiles, reading stations in otherwise unserved areas						bookmobile circulation		

Type of Service	Amount of Service by Source of Service					Units of Service Used	**SATISFACTION** With Service (1-Very Dissatisfied to 5-Very Satisfied)	**IMPORTANCE** of Service (1-Very Unimportant to 5-Very Important)
	Public Library System (Number)	Central Library (Number)	3Rs (Number)	School Library System (Number)	Other System, Library or Service (Number)			
2. ACCESS TO EQUIPMENT								
2.1 Intrasystem library loan (temporary loans that are returned in a specific time period						items borrowed		
2.2 Intrasystem library loan (permanent or semi-permanent loans						items borrowed		
3. METHOD OF LOCATING MATERIALS								
3.2 System-wide union catalog						items searched		
3.3 Electronic databases						items searched		
3.4 Dial access to library holdings						items searched		
3.5 Forward/refer to Library System						items		
4. SHARED OR COOPERATIVE LIBRARY OPERATIONAL ACTIVITIES								
4.1 Circulation control						items circulated (all libraries)		
4.2 Collection development						NA		
4.3 Cooperative collection development						NA		
4.4 Acquisitions or ordering						titles acquired/ordered		
4.5 Cooperative purchasing						NA		
4.6 Cataloging						items cataloged		
4.7 Retrospective conversion						titles converted		
4.8 Catalog production for individual library						catalog card/record sets produced		

Type of Service	Amount of Service by Source of Service					Units of Service Used	**SATISFACTION** With Service (1-Very Dissatisfied to 5-Very Satisfied)	**IMPORTANCE** of Service (1-Very Unimportant to 5-Very Important)
	Public Library System (Number)	Central Library (Number)	3Rs (Number)	School Library System (Number)	Other System, Library or Service (Number)			
4.9 Union list/COM catalog						copies of lists received		
4.10 Physical processing						items processed		
4.12 Reference, referral and research						NA		
4.12.1 Manual searching of printed publications						manual searches		
4.12.2 Online bibliographic searching						online searches		
4.12.3 Online other database searching						online searches		
4.12.4 Referral searching services						referral searches		
4.12.5 Research analysis with written reports						research projects		
4.13 Materials examination						items examined		
4.14 Delivery services								
4.14.1 Mail delivery						items/packets sent		
4.14.2 In-system courier (vans, trucks, etc.)						items/packets sent		
4.14.3 Telefacsimile						items sent		
4.14.6 Other contracted services						items sent		
4.15 Recordkeeping for member libraries (e.g., accounting, payroll, billing, etc.)						Specify what services:		
4.16 Consultant services						NA		
4.16.1 Adult						total consultant hours		
4.16.2 Young adult						total consultant hours		

Type of Service	Amount of Service by Source of Service					Units of Service Used	**SATISFACTION** With Service (1-Very Dissatisfied to 5-Very Satisfied)	**IMPORTANCE** of Service (1-Very Unimportant to 5-Very Important)
	Public Library System (Number)	Central Library (Number)	3Rs (Number)	School Library System (Number)	Other System, Library or Service (Number)			
4.16.3 Children's						total consultant hours		
4.16.4 Youth services						total consultant hours		
4.16.5 Audiovisual						total consultant hours		
4.16.6 Outreach						total consultant hours		
4.16.7 General automation and automation systems						total consultant hours		
4.17 Public relations and publicity								
4.17.1 Print products such as posters, signs, pamphlets, exhibits, etc.)						NA		
4.17.2 Newspaper articles						NA		
4.17.3 Radio programs or spot announcements						NA		
4.17.4 Television programs or spot announcements						NA		
4.18 Job information								
4.18.1 Job information (under grant)						persons served		
4.18.2 Operating center (e.g., JEIC)/providing service						persons served		
5. CONTINUING EDUCATION								
5.1 Workshops (library system related)								
5.1.1 Member library staff						total attendance		
5.1.2 Board/council members						total attendance		

Type of Service	Amount of Service by Source of Service					Units of Service Used	**SATISFACTION** With Service (1-Very Dissatisfied to 5-Very Satisfied)	**IMPORTANCE** of Service (1-Very Unimportant to 5-Very Important)
	Public Library System (Number)	Central Library (Number)	3Rs (Number)	School Library System (Number)	Other System, Library or Service (Number)			
5.2 Special programs in regular library system meetings						total attendance		
5.3 Shared professional collections provided by library systems								
5.3.1 For member library staff						NA		
6. OUTREACH (INVOLVING LIBRARY SYSTEM SERVICES)								
6.1 Literacy						NA		
6.2 English as a second language						NA		
6.6 Service to persons with impairments								
6.6.1 Deaf						NA		
6.6.2 Blind						NA		
6.6.3 Physically handicapped						NA		
6.7 Books by mail						NA		
6.8 Service to homeless						NA		
6.9 Early childhood development						NA		
6.10 Parenting						NA		
6.11 Aging						NA		
7. COMMUNICATION (NOT COVERED PREVIOUSLY)								
7.1 Electronic mail/bulletin boards among libraries						NA		

Type of Service	Amount of Service by Source of Service					Units of Service Used	**SATISFACTION** With Service (1-Very Dissatisfied to 5-Very Satisfied)	**IMPORTANCE** of Service (1-Very Unimportant to 5-Very Important)
	Public Library System (Number)	Central Library (Number)	3Rs (Number)	School Library System (Number)	Other System, Library or Service (Number)			
9. GRANTS FROM SYSTEM FUNDS NOT COVERED PREVIOUSLY (DO NOT INCLUDE LOCAL LIBRARY INCENTIVE AID)								
9.1 Materials Grants						$ received		
9.2 Cash Grants-General						$ received		
9.3 Cash grants-Incentive						$ received		
10.1 LSCA (Title I and Title III grants)						$ received		
10.2 NEH grants						$ received		
10.3 NY State Council on the Arts grants						$ received		
10.4 Construction grants (state & federal)						$ received		
10.5 Automation grants						$ received		
11. MEMBER LIBRARY PARTICIPATION IN SYSTEM								
11.1 Directors or Librarians/ Council						persons on Council		
11.2 Committee representing member libraries						total persons on all committees		
11.3 Ad hoc questionnaires						questionnaires completed		
12. DIRECT ACCESS TO YOUR LIBRARY BY MEMBER LIBRARY REPRESENTATIVES/PATRONS								
12.1 Direct access to any member library						NA		
12.2 Intrasystem borrowers card						NA		

Item No.	Type of Service	Amount of Service by Source of Service: Public Library System (Number)	Central Library (Number)	3Rs (Number)	School Library System (Number)	Other System, Library or Service (Number)	Units of Service Used	SATISFACTION With Service (1-Very Dissatisfied to 5-Very Satisfied)	IMPORTANCE of Service (1-Very Unimportant to 5-Very Important)
12.3	Intersystem borrowers card						NA		
12.4	Return of books to any library						NA		

PART 2

PROVISION OF SERVICES TO OTHER LIBRARIES

Some individual libraries provide services to other libraries. If your library provides such services, please write in the code and name of the service in the first column. Also, indicate what type of libraries your library served and the approximate amount of services provided to each type of library in 1987. The unit of service provided should be written in the last column. PLEASE REFER TO THE ATTACHMENT FOR CODE NUMBER, NAME OF SERVICE AND UNITS OF AMOUNT OF SERVICE PROVIDED IN 1987.

AN EXAMPLE IS GIVEN IN THE FIRST FOUR LINES.

Service Provided to Other Libraries (Refer to list of services) [WRITE IN CODE AND NAME OF SERVICE]	Recipient of Service					Unit of Service Provided [WRITE IN]
	Public Library System Member (Number)	Central Library (Number)	3Rs Member (Number)	Other Library System Member (Number)	Other Library (Number)	
EXAMPLES						
1.1 Interlibrary loan (ILL) request processing/referral	1,300		150		50	request forms (processed)
1.2 Interlibrary loan of materials	1,200		100		50	items loaned
4.11.2 Online bibliographic searching	120	82			15	online quick look-ups
4.11.2 Online bibliographic searching	16	15		5	5	online in-depth searches

PART 3

NEEDS, CONCERNS AND ISSUES

This part of the questionnaire addresses your library's needs and your experiences and concerns with Library System governance, funding and involvement.

1. What do you consider to be the most urgent needs of your library **PATRONS** that might be helped by a Library System? Please rank in decreasing order of importance, i.e., 1 = most important, etc.

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2. What do you consider to be the most urgent needs of your **LIBRARY** that might be helped by a Library System? Please rank in decreasing order of importance, i.e., 1 = most important, etc.

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3. What specific concerns do you have about the future operation and development of the Public Library Systems to which you belong?

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4. Is your library represented in your Public Library System's governance structure?

Yes..	1
No...	2
Don't know...	3

If "Yes", how is it represented?

____

____

____

____

Any other comments concerning governance:

____

____

____

____

____

5. Did your library vote on any Public Library System issues within the last 12 months?

Yes.. 1
No... 2 (Skip to Q6)

(a) If "Yes", how? (CIRCLE ALL THAT APPLY)

Director's meeting......................... 1
Poll....................................... 2
Annual meeting............................. 3
Other (please specify)____________________
____.. 4

(b) If "Yes", on what issues?

____
____
____
____
____
____
____
____

6. In what other ways has your library participated in your Public Library System's decision-making in the last 12 months?

____
____
____
____
____
____
____
____

7. Do you consider your library's interests to be adequately represented through the governing body of the Public Library System of which you are a member?

Yes.. 1

No... 2

If 'No', please explain.

8. Does the governance structure of the Public Library System to which you belong pose any problems?

Yes.. 1

No... 2

If 'Yes', please explain.

9. Do you have any suggestions for improving the governance structure of the Public Library System to which you belong?

10. Do you consider the current method of allocation of funds of state aid to Public Library Systems in New York to result in equitable services throughout the state?

Yes...	1
No..	2
Don't know....................................	3

If 'No', please explain.

11. Do you consider Local Library Incentive Aid to be equitable among the libraries in your system?

Yes...	1
No..	2
Don't know....................................	3

If 'No', please explain.

12. What methods does your Public Library System use to keep you and your administration informed of issues and activities of concern to the system?

____

____

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____

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____

A. Does this meet your need?

Yes.. 1

No... 2

B. If more funds were available for your Public Library System how would you prefer they be spent? Please rank in descending order of importance; i.e., 1 = most important, etc.

____

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13. Please record any other comments you would like to make concerning your Public Library Systems, the Division of Library Development or related issues.

PART 4

AUTOMATION

This part deals with general information concerning your library. The purpose of this question is to determine (1) your library's capability of using automated services that might be provided by Library Systems in the future and (2) the extent to which your library is already automated or plans to be automated in the future, thereby not requiring certain automated services.

1. For each function, indicate by checking the appropriate box if in your library the function is automated or if automation of the function is being planned or is being considered.

Function	Currently Automated	Planning Automation	Considering Automation
Circulation			
Word Processing			
Microcomputers for Patron Use			
Acquisitions			
Cataloging (current)			
Retrospective Conversion			
Catalog Production/ Maintenance			
Public Access Catalog			
Materials Booking/Scheduling			
Serials Control			
Reference (including access to online databases)			
Interlibrary Loan			
Electronic Document Delivery			
Electronic Mail/ Bulletin Board			
Budgeting and Accounting			
Other* (please specify)			
______________________			

* Please indicate any other functions that may be supported by automation

PART 5
LIBRARY DEMOGRAPHICS

1. To which Library System(s) or other networks, consortia, etc. does your library belong? (CIRCLE ALL THAT APPLY)

Public Library System.................................. a

3Rs Library System..................................... b

Other Library System (please specify) _______________

____... c

None... d

2. Approximately how many patrons does your library serve?

__________ registered patrons

or

__________ regular patrons

3. Approximately how many people are in the community served by your library? (RECORD FOR YOUR TYPE OF LIBRARY)

Public Libraries............ __________ persons in community

School & Academic Libraries __________ students

__________ faculty

Special Libraries........... __________ professionals (e.g., managers, scientists, doctors, lawyers, etc.)

4. Approximately what is the size of your library collection in the following areas:

   a. Number of books (volumes): Include number of books, bound periodicals, government documents, pamphlets, and microfilmed print materials.

      __________ total volumes

      __________ volumes added last year

   b. Number of periodical titles currently received:

      __________ titles

   c. Number of audiovisual materials: Include films, filmstrips, records, tapes, cassettes, slides, art prints, lists, maps, etc.

      __________ total items

      __________ items added last year

5. Approximately what is your library's annual circulation?

   __________ items

6. Please indicate what library services your library normally provides to patrons and the approximate amount of services. (Please circle all that apply.)

Reference and referral services..	a	__________	searches
Online bibliographic searching...	b	__________	online searches
Outreach programs................	c	__________	programs
Terminals or microcomputers available to patrons.............	d	__________	terminals or microcomputers
Teaching library skills to patrons.......................	e		

7. How many staff members does your library currently have? (Report FTE in terms of your standard work week, as long as that standard work week is between 35-40 hours.)

	Professional Librarians	Para-Professional	Clerical Support
Full-time Equivalent	_____ FTE	_____ FTE	_____ FTE

8. Approximately what was your library's last annual budget?

a. Salaries and fringe benefits................ $________

b. Purchase of collection materials............ $________

c. Computers and equipment..................... $________

9. Prior to receiving this survey instrument, were there Library System services of which you were unaware?

If yes, please specify: ______________________________

____

____

____

____

10. Please feel free to make any suggestions or comments below.

____

____

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____

____

THANK YOU VERY MUCH.

INTERVIEW GUIDE
NEW YORK LIBRARY SYSTEMS

Interviewer: ____________________

1. Library System: ____________________

2. Date: ____________________

3. Persons Interviewed | Position

Persons Interviewed	Position

4. For introduction, topics to be covered:

- Materials to gather/send
- Questionnaire clarification
- Statistical recordkeeping
- System needs, priorities, concerns
- Member needs, priorities, concerns
- Mission and services
- Governance
- Intersystem relationships and cooperation
- Funding
- Measurement
- Other issues

5. Review materials to be sent

	Sent	Will Send	Pick-up	State Library	None
● Most recent annual report to state	___	___	___	___	___
● Bylaws/charter	___	___	___	___	___
● System plans, outreach/automation amendments	___	___	___	___	___
● Central library plans (PLS only)	___	___	___	___	___
● Polls of members	___	___	___	___	___
● Evaluations or relevant	___	___	___	___	___
● Newsletters from Oct. 1987	___	___	___	___	___

6. Clarification of survey responses

KRI Issues (write in before mtg.)	Response
___	___
___	___
___	___
___	___
___	___
___	___

System Issues

___

___

___

___

___

___

7. Statistical recordkeeping

Method of keeping costs/budget

Costs by revenue source (e.g., grants, etc.) Yes___ No___

Costs by resources (e.g., salaries & wages, systems, facilities, etc.)

Yes___ No___

Costs by services (e.g., ILL, reference, outreach, etc.) Yes___ No___

Costs by direct/indirect/fixed/variable Yes___ No___

Costs by other breakdown Yes___ No___

Output measures (e.g., no. of ILL, ILB, references, etc.) Yes___ No___

Performance measures

Quality Yes___ No___

Timeliness Yes___ No___

Other data (e.g., surveys on regular basis, quality control, etc.)

8. Library system needs (list needs and then prioritize): Prompts: resources (funding, staff, facilities, systems)

9. Member library needs (list needs and then prioritize): Prompts: services

10. Mission and services

How current services work (i.e., who actually provides and who uses):

Mission statement Yes___ No___

Changes anticipated in mission

11. **Governance**

Description of current governance

Problems in governance structure

Suggested changes in governance structure

12. **Intersystem relationships and cooperation**

Description of relationships

Problems encountered in relationships

Suggested changes in relationships

13. Intersystem relationships and cooperation

List funding sources

Opinions concerning adequacy of funding from the sources

Suggested changes in formulas, etc.

14. Measurement

Opinions concerning existing measurement

Suggested changes in measurement

15. Other issues of concern

APPENDIX E

LIST OF STATEMENTS OF PROBLEMS AND SUGGESTIONS FROM SURVEY RESPONSES

APPENDIX E

LIST OF STATEMENTS OF PROBLEMS AND SUGGESTIONS FROM SURVEY RESPONSES

E.1 PROBLEMS OF INTERSYSTEM RELATIONSHIPS

E.1.1 Problems of Intersystem Relationships Stated by Public Library System Representatives

A total of 10 Public Library System directors indicated various problems with intersystem relationships. The most freqently cited problem was the "ambiguity of the roles and responsibilities of each type of system." This ambiguity was perceived as the cause of "adversarial relationships" between the Public Library Systems and academic, special and school libraries. It was also seen as the root cause of problems between Public Library Systems and RRLRS involving the issue of individual public library membership in RRLRS. Related to this problem was the perceived "lack of understanding and mutual appreciation for the roles each System plays." Finally, some Public Library Systems perceived the "encroachment of RRLRS on traditional Public Library System services and functions."

Many of the other problems in intersystem relationships perceived by the Public Library Systems related to the RRLRS. They cited the "difficulties in finding common ground among all participants" and the problems of "forcing cooperation through formal structures (RRLRS)" rather than letting cooperative activities evolve according to System needs and resources. There was some concern that some academic and special libraries charge for interlibrary loans and that there seems to be a prevailing view that "rare and unique materials are more valuable than frequently used materials." There was a great deal of concern related to a perceived inequitable distribution of automation grant monies (which relates somewhat to the previous concern). Finally, some Public Library Systems indicated a certain "conflict of interest" in their role on the RRLRS Boards/Advisory Councils, between voting in the best interests of their own members or of the region as a whole.

PROBLEMS WITH INTERSYSTEM RELATIONSHIPS: Stated by PLS (cont.)

One problem relating to the School Library Systems was mentioned by Public Library System directors. It was the "weakness" of the School Library System relative to the other two types of systems. The weakness is seen to be caused by the lack of authority and lack of control that the School Library System administrators and their Boards/Councils have under the current BOCES structure. The facts that input provided to School Library Systems can be completely ignored by the BOCES and that School Library System Administrators are really unable to commit their Systems to activities, tend to result in School Library Systems not being viewed as full and active participants in cooperative intersystem activities.

Other general problems with intersystem relationships were the lack of compatibility of automated systems, a concern that a considerable amount of time and travel funds is expended on other Systems' business (not necessarily in the areas of interest of the Public Library Systems), a perception of unrealistic expectations for System services and insufficient funding for the Systems to achieve their potential.

E.1.2 Problems of Intersystem Relationships Stated by RRLRS Representatives

A total of seven RRLRS directors indicated problems in intersystem relationships. The most frequently cited problem concerned the different needs and roles of the various participants in cooperative activities. There is a perception that "overlapping roles cause conflicts." Problems are seen between Public and School Library Systems, and between these two types of systems and the RRLRS. Another perceived problem is the "confusion over when the RRLRS is a hierarchical agency and when it is not." There also appears to be an "unevenness in willingness to cooperate and participate." For example, "other Systems expect RRLRS to cooperate but these systems see no need to cooperate with RRLRS." From responses, it was evident that some RRLRS directors do not recognize their role of serving public and school libraries through their respective Library System membership in the RRLRS.

Specific problems in intersystem relationships with School Library Systems relate to the lack of authority and control of the School Library System administrator and Council, which results in input and cooperative planning efforts often being ignored in practice. A second area of concern with the School Library Systems is that they look to the RRLRS for support but the RRLRS are unable to provide all the services that are needed. There is a certain feeling that RRLRS are somehow expected to fill in these service gaps which are really caused by insufficient funding of the School Library Systems.

Finally, the problem of the increased complexity of the RRLRS operations was mentioned. This results in the need for "better communication and coordination with Public Library Systems and School Library Systems, while simultaneously leaving less time for doing anything about it."

E.1.3 Problems of Intersystem Relationships Stated by School Library System Representatives

A total of 24 School Library System directors indicated problems in intersystem relationships. As with the other two types of Systems, the School Library Systems cited the "difficulties in finding mutual goals" and the differences between the three types of Systems as a problem. They also indicated the "lack of definition of roles and responsibilities, the inequities in funding (particularly in regard to regional automation funding), differences in structure and governance as barriers to cooperation."

They indicated problems in the formal intersystem relationships including "non-reciprocity of board membership" in that RRLRS system directors and Public Library System directors sit on the School Library Systems' Advisory Councils, but School Library System directors have no input to Public Library System governance and do not always have a seat on RRLRS system boards/councils. Several School Library Systems mentioned that the "RRLRS tries to control the School Library Systems" and that the

PROBLEMS WITH INTERSYSTEM RELATIONSHIPS: Stated by SLS (cont.)

"leadership from the RRLRS tends to be obtrusive." Some School Library Systems directors believe they are not able to participate fully in some RRLRS activities because of decisions made by the RRLRS, such as a requirement to use OCLC services or the omission of Bibliofile as an approved vendor for bibliographic information. School Library System representatives cited the problem of "having no choice as to which committees we sit on in RRLRS, membership on committees is by invitation irrespective of interest or expertise."

The School Library System directors also perceived attitudinal problems on the part of Public Library Systems and RRLRS. They indicated that the "School Library Systems are seen as taking money away (from the other types of systems), are less important, need less, have less important interlibrary loan requirements" and are often viewed as "second-class" members of RRLRS. They believe that they have inequitable levels of representation in the RRLRS structures because of the concern that the RRLRS have of "being overpowered and outvoted."

One final set of concerns that School Library Systems identified as barriers to intersystem cooperation relates to charges for services. They viewed the charges levied by some RRLRS Councils for membership and services to be too high. They also were concerned that Public Library Systems and RRLRS and their members are charging for interlibrary loans.

E.2 SUGGESTIONS FOR IMPROVEMENT OF INTERSYSTEM RELATIONSHIPS AND COOPERATION

Many different suggestions for improving intersystem relationships were made by directors and others from each type of System. Suggestions ranged from actually changing the entire System structure in New York State to the implementation of specific cooperative activities within the existing structure. The suggestions made by directors and others from each type of System are discussed separately below.

E.2.1 Suggestions Made by Public Library System Participants Concerning Intersystem Relationships

The most frequently suggested structural change made by the Public Library System directors was for "parallel governance of three types of systems with clear differentiation of roles, services and clientele."

A second suggestion which does not go as far as the previous one is to "separate the governance structure of the three types of systems," i.e., no mandated cross-representation on Boards or Advisory Councils.

Two further suggestions relate more specifically to the School Library Systems. One of the suggestions is to "restructure the School Library Systems so they are independent (from the BOCES) and co-equal to RRLRS and Public Library Systems." The second suggestion is to "remove the School Library Systems from under the BOCES and merge them with the Public Library Systems."

The remaining suggestions made by PLS participants are more in the nature of recommended cooperative activities than restructing of Systems. They include:

- encouraging more regional and statewide meetings (of Systems of the same and different types)
- implementation of the state automation goal for point-to-point interlibrary loan
- development and dissemination of regional CD-ROM catalogs statewide

SUGGESTIONS FOR INTERSYSTEM RELATIONSHIPS: Made by PLS

- linking of online systems
- improvements in delivery services within Systems and the interfacing with delivery services of other Systems
- implementation of fax on a statewide basis
- provision of incentives to net lenders
- encouragement of cooperative, intersystem projects with support and funding
- provision of financial incentives to facilitate cooperative ventures
- reduction of paperwork involved in cooperative ventures
- provision of adequate funding for cooperative intersystem activities
- study of the role of school and public libraries in the education of students
- study of the need for intersystem cooperation
- more teleconferencing or other means to save travel time and funds.

E.2.2 Suggestions Made by RRLRS Participants Concerning Intersystem Relationships

The suggestions made by the RRLRS directors for the improvement of intersystem relationships mostly involved various activities to be performed within the present general structure. There was a perceived need for "clearly defined roles and missions for each type of system," "assistance from DLD in clarifying the relationship (of RRLRS) with other systems," and for "new programs for RRLRS to be clearly defined in the areas of administrative authority and participant responsibility." A suggestion was also made for the establishment of "a statewide committee with equal representation from the three types of Systems to resolve problems."

SUGGESTIONS FOR INTERSYSTEM RELATIONSHIPS: Made by RRLRS

The remaining suggestions included:

- regular meetings of all System directors in a region
- exchange of minutes of System board meetings among Systems in a region
- development of formalized protocols
- improved communication and cooperation between committees and groups across Systems
- more joint planning for continuing education
- publicize the benefits of intersystem cooperation
- more funding for RRLRS
- increase the activities of RRLRS
- provision of incentives for School Library Systems to merge
- recognition of the resources needed to administer new programs should be included in funding
- improve data collection and analysis
- improve the accessibility and timeliness of state collected information.

E.2.3 Suggestions Made by School Library System Participants Concerning Intersystem Relationships

School Library System directors made several suggestions for improving intersystem relationships. Several suggested changes in the structure of Systems. They suggested that there be a "clear delineation of the missions and purposes of the three types of Systems, with no overlaps." Also suggested was the "separation of the Systems' governance structures" or else a "reciprocal board membership structure." Another suggestion was for a "separate governance structure for regional decisions--all Systems in the region represented by System staff or board members." The School Library Systems are particularly concerned with co-equal status for all three types of Systems.

SUGGESTIONS FOR INTERSYSTEM RELATIONSHIPS: Made by SLS

Other suggestions relating to System structure included "improve the authority of the School Library System director" and "libraries eligible for membership in one System should not be able to join a different one."

Other suggestions made by SLS participants which relate to improving intersystem relationships included:

- improvement of communication and sense of cooperation
- standardization of policies and procedures
- regular meetings of all System directors in a region
- reduction of competition for funds
- improve the equity of funding
- improve regional delivery systems
- development of software and bibliographic databases with easy access to all types of Systems
- increase representation of School Library Systems on RRLRS boards and committees
- development of joint continuing education/staff development programs
- more access to technology
- improve the turnaround time of interlibrary loan
- increased adoption and use of electronic mail

SUGGESTIONS FOR INTERSYSTEM RELATIONSHIPS: Made by SLS

- realistic levels of funding
- contractual relationships between Systems
- clearer SED directives in the areas of contracting with Public Library Systems and interlibrary loan fees for state-funded agencies
- standardization of automation
- union database development
- exchange of newsletters
- release school library media specialists to attend Public Library System book selection meetings
- equalize certification requirements for directors of all types of Systems.

E.3 PROBLEMS OF GOVERNANCE

E.3.1 Problems of Governance Stated by Public Library System Participants

The Public Library System governance problems fall largely into the following areas:

- membership on Public Library System boards and advisory committees,
- communication between Public Library Systems and their members; particularly regarding System decisions,
- special problems with Public Library Systems and Central Library relationships,
- special problems of federated Systems,
- governance of other types of Library Systems, and
- other issues.

One principal issue concerns the make-up of the Public Library System board (i.e., board members being trustees and lay versus member library directors). Part of the problem involves the need for the Boards to (1) address policy issues, (2) deal with operational questions and decisions, and (3) make sure the Systems are responsive to member operational needs and public library patron needs. Obviously boards consisting of trustees can accomplish some, but not all of the needs above, well. One problem is that highly qualified trustees are hard to recruit (e.g., public library patrons as well as lawyers, bankers, computer experts, etc. who can help deal with problems requiring their expertise). One Library System director expressed this need in a slightly different way as follows: "Our trustees and trustees at member libraries need increased training and opportunities to meet and hear from trustees who are role models who have succeeded in a real world library situation." Furthermore, even though some such people can be recruited, "the lay board of trustees is not knowledgeable about libraries nor their changing needs and therefore it is an uphill and constant effort to educate them about libraries and their needs." Many trustees (and the trustee association) maintained that they were well trained, although some improvements could be made.

PROBLEMS WITH GOVERNANCE: Stated by PLS Participants (cont.)

A large number of member library directors felt that all member libraries should be represented on the boards and/or at least have a vote. Many suggested having trustees from towns on the Public Library System boards. Many other member library directors also wished to "put some people on the board who know what libraries are all about. (Why not one or two library directors?)" Several of these directors expressed the feeling that some Public Library System directors are able to "control" their boards by taking advantage of the ignorance or naivete of trustees.

At the heart of the problem above is communication between Public Library System directors and their member libraries (and Central Libraries as well). This problem is far more general and severe with Public Library Systems than with the other types of systems. Some Public Library System directors acknowledged this problem. A very large number of member library directors forcefully expressed their feelings in this problem area in questionnaire responses as well as in open meetings and by other means. Some said the Public Library System directors are "remote" and "difficult to communicate with." The member library directors indicate that they are not informed or brought into the process of policy-making or for making decisions that may significantly affect their libraries and patrons.

We recognize the dilemma that Public Library System directors face in that "everyone has a point of view; no one wants to take the responsibility for making an unpopular decision." Furthermore, many system directors feel that "member libraries must take more responsibility in becoming informed" and "should attend board meetings." The System director has the responsibility of the consequences for their decisions (and actions) and must make them accordingly. However, more input from member library directors and others could provide sound advice and help avoid problems in the future.

Even though directors of member libraries (and to a lesser degree Public Library Systems and Central Libraries) indicated substantial communication problems, there is some additional evidence on other aspects of communication which puts their comments into a proper perspective. For example:

- 53 percent of member libraries said they were represented in their System's governance structure,
- 62 percent of member library directors said they had voted on Library Systems issues, and
- 75 percent of member library directors said the methods used by their Library Systems to keep them informed meet their needs.

Thus, even though many member library directors have problems, more seem to be satisfied; at least with those aspects of communication referred to above.

Another area of governance problems deal with Public Library Systems and Central Libraries. As one System director indicated there is the "whole issue of the relationship between the System and the Central Library; who is responsible for what services?" The consequences of the problems are that "due to the interrelatedness of the System and the Central Library, it is difficult to set policies in the best interests of the Central Library, e.g., loan period and return policies on video cassettes." Central Library directors feel that they should also "have a stronger role in decision-making, particularly in the distribution of funds." They also feel that neither "System trustees nor trustees of member libraries fully understand the role, funding and responsibilities of the Central Library." Some Central Library directors would also like to be represented (themselves) on the board along with other member library directors, say, to make-up "one-third of the boards." Finally, System directors, Central Library directors and several member library directors brought up the issue of co-directorships of Systems and Central Libraries. Their collective feelings are ambiguous on this issue in that some favor co-directorships and others do not.

Another special set of issues involved federated Systems. One issue is that "federated Systems comprising independently chartered Library Systems lose State Aid" and that in one instance "artificial joining of independently chartered Systems into federated Systems creates difficulties

PROBLEMS WITH GOVERNANCE: Stated by PLS Participants (cont.)

and drains resources." Directors of federated Sytems seemed to be more concerned than other types of directors with "amount of time taken up with System board meetings."

Governance concerns regarding other types of Systems are:

- At present the Public Library Systems are not represented equally on the RRLRS boards.
- There needs to be a redefinition of the School Library Systems and their governing structure.

Other issues raised by survey respondents and others include:

- At present, System structure does not allow for long term planning or adapting to change.
- Under the present governing structure, it is almost impossible to achieve any real library progress and service as the present System structure promotes parochialism and separatism.
- Forced to follow fiscal policies which can hamper in filling vacancies, transferring funds, etc.
- Have to work with a variety of fiscal years: System is on a calendar year, State is on an April 1 - March 31 year, member initiatives are on a July 1 - June 30 year, LSCA is on an October 1 - September 30 year.
- Annual report to DLD must be on a cash basis, but annual report to audit and control is on a modified accrual basis.
- Because of the cooperative nature of some Systems, all member libraries are completely autonomous and may ignore the services of the System if they choose. This has led to very uneven availability of services in some areas.
- Because the System board is comprised of representatives of local libraries, there has been a tendency to refrain from mandating attainment of certain service levels by local libraries in order to qualify for System grants.

PROBLEMS WITH GOVERNANCE: Stated by PLS Participants (cont.)

Specific problems mentioned by Public Library System directors included:

- Problem of multiple boards, funding authorities and their respective bureaucracies, each on a different fiscal year.
- Lack of acceptance by the funding authority of Trustees' authority regarding decision making and fiscal control.
- State regulations on Direct Access hamper implementation of the System Resource Sharing Code.
- Problems with guidelines as to what board members need to do to support System activities.

E.3.2 Problems of Governance Stated by RRLRS Participants

The nature of problems of governance expressed by RRLRS participants is quite different from those of Public Library Systems participants. While the make-up of boards presents some difficulties, communication is not an overriding issue with member library directors or others. Some of the problems are discussed below.

One issue is representation by other system directors on the RRLRS boards. One RRLRS director expressed this issue as follows: "The regulations mandating seats for specific institutions and types of members are the cause of many of the problems with the RRLRS governance structures. For example, these restrictions mean that other systems have a decision making power in the RRLRS function which is not reciprocated through RRLRS' participation in their respective boards. . . . The problem with the mandated representation of other systems is that the representation is on a one-way basis. Communication between boards of trustees is non-existent, and any change in that pattern is totally dependent on the personality of the System directors involved" and another said that "The structure itself is not a problem, but conflict of interest or sectionalism, which occasionally pits a trustee, or a group of trustees, against the common good." In one instance it was said that "Several proposals for expanded services were seen as threats to Public Library Systems. Since they have guaranteed seats on the Board, they were able to stop these proposals from going forward, despite the belief that many libraries would benefit."

PROBLEMS WITH GOVERNANCE: Stated by RRLRS Participants (cont.)

Member libraries (i.e., academic and special) indicated some concern that they are not adequately represented on the RRLRS board (28% said they are not represented in the System governance structure). If they themselves can not be on the board, they would at least like to vote for who is on it. Some member libraries indicate that the board structure favors certain types of members (e.g., large or small libraries, Public Library Systems, etc.). There is some feeling that the RRLRS board make-up leads to conflicts of interest with too much self-interest (e.g., of the System board members and their patrons) and not enough concern for the overall good of the regions.

Communication was expressed as a problem by only two member libraries on the survey. A high proportion of the member libraries (82%) indicate that methods used by RRLRS to keep them informed meet their needs and about three-fourths of them said they had voted on System issues.

Other issues expressed, particularly by RRLRS directors, are as follows:

- DLD creates terrific problems by creating processes (i.e., signature requirements, authentication requirements) and deadlines which are virtually impossible to meet with this structure. It isn't the governance which is wrong, it is the DLD requirements and lack of understanding of the practical application of their requirements.
- There is occasional confusion about how the various committees relate to, and may need to communicate with, one another and the Board of Trustees.
- School Library Systems' participation would be improved by requirements in SED regulations for School Library System representation on all RRLRS boards.
- Committees have a great deal to do with governance since we're relying on their input and recommendations. Sometimes they are slow and plodding. Sometimes they are not entirely objective.

E.3.3 Problems of Governance Stated by School Library System Participants

The overriding governance concern of School Library System directors and their member library directors is the System affiliation with BOCES. This concern starts with the perception that "statewide BOCES has a negative image with teachers" which affects the School Library System relationship with teachers. Another widely expressed concern is that some School Library System directors must spend time with BOCES responsibility, paperwork and even to do BOCES (not library) related work. For example, "as the governing agent, the BOCES can require System staff to do BOCES rather than System work." A few typical examples of the concerns are as follows:

- School Library Systems are part of BOCES and, therefore, subject to BOCES regulations regarding personnel, budget, salaries, vacations, etc.
- BOCES hierarchy dictates the rate of implementation of programs that could help advance individual member libraries.
- Since the BOCES controls the funds, the director cannot decide how to spend system money.
- All programs must be approved by BOCES administration and the board of education. Decisions made by the System Council are not binding.
- The director is not allowed to contact school administrators directly or to communicate about System matters with them. This seriously limits the amount of progress that can be made.
- Decisions relating to the Systems are made by people without any real knowledge of what Systems can and should do, and without input from the directors.
- As a program integrated with the BOCES, we must hire from Civil Service lists at a pay rate determined by BOCES. That rate is not competitive with the county or surrounding districts. BOCES establishes the appropriate job titles and is reluctant to add titles not currently part of the BOCES structure.
- All publicity items must fit the "BOCES image" and are subject to formal approval before distribution.

PROBLEMS WITH GOVERNANCE: Stated by SLS Participants (cont.)

A large number of school member "library directors" expressed similar concerns with BOCES.

Another problem is that "School Library Systems report to too many masters: BOCES, SED, BSLMP, DLD." Also, "The School Library System's situation is further complicated because the System must also deal with the governing authorities of each district and sometimes each school."

Finally, there is some problem with representation on their Councils by other types of Library Systems. For example, one School Library System participant indicated that "The Council is advisory but legislation requires representation by RRLRS and Public Library System. These persons are appointed by their staffs. Advisory Councils of the RRLRS are appointed by the RRLRS director at his whim and pleasure."

The School Library System participants also cited many additional problems with System governance including:

- Everything has to be run through ED COMM director who is not as comfortable with promoting change to school district. Also, library program is associated with ED COMM division/director and director is circumvented and avoided by member superintendents and librarians.
- In certain circumstances the BOCES financial "pay in" structure prohibits the offering of services.
- I cannot send notification of continuing education programs (especially those involving release time, registration fees or inservice credit) directly to member librarians. Notices must be officially filtered through designated administrators.
- There are 13 mandate services the School Library Systems are required to provide for participants. In addition, many directors have gone beyond these requirements to offer much needed and/or desired services for their library media specialists. However, in addition to fiscal restraints, the inordinate amount of paperwork required by SED severely cuts into time which could otherwise be spent in quality services to members.

E.4 SUGGESTIONS FROM THE LIBRARY COMMUNITY FOR CHANGING EXISTING GOVERNANCE STRUCTURES

We received literally hundreds of suggestions for improving the existing governance structures during the course of the project. Some of the suggested changes made by representatives from each type of system are given in the subsections below.

E.4.1 Suggestions Concerning Governance from Public Library Systems (PLS) Participants

Suggestions from PLS participants concerning overall Library System structure:

- Establish one System to serve an entire area to all types of libraries. This was the recommendation of the Emerging Library Systems that was never tested and yet today we have many Systems competing for limited dollars duplicating each others services.
- The present regions are much too large. With the structure of these regions, it is difficult to plan for use of tax dollars in a real service capacity. The present structure tends to be bureaucratic and wasteful.
- Sooner or later the state must realize that there is a need for one System to serve a smaller area with a lay board of trustees elected by the membership with fair representation to all areas as an effective System operation. The present nominating structure in the RRLRS region is known for its "cliques" and misrepresentation.
- It should be mentioned that the idea of joining forces with other types of Library Systems under one general umbrella has been rejected. The unhappy experiences in Illinois with that kind of experimentation were certainly a factor in that decision. We see much still to be done on our own turf with the plethora of concerns almost overwhelming in our own sphere. The lack of focus of multitypes would not begin to meet our needs.

Suggestions from PLS participants concerning Public Library System boards:

- Reducing the number of trustees to a number of 9-12 in order to reduce trustee turnover, non-attendance or non-participation would improve the current governance structures.

SUGGESTIONS CONCERNING GOVERNANCE: From PLS Participants (cont.)

- System trustees should be trustees of their local libraries at the time of their election or selection to the System's Board.

- One alternative to a cooperative structure for Systems is a consolidated governance structure that would have the System Board take over responsibility for local library operations (including staffing and funding) and have the local library Boards serve as advisory bodies. However, it is recognized that this structure would be impossible to achieve in New York State given political realities we have to deal with.

- Change the Board of Trustees from a governing board to an advisory board.

- Single board of trustees rather than many with members representing county legislative districts.

Suggestions from PLS participants concerning Central Libraries and member libraries:

- Phasing out of the Central Library and replacing it with magnet libraries. A plan of service and coordinated collection development plan would be developed and revised on a regular basis. The "old" CLD and CBA funds would be assigned to the magnets on a rotating, rather than a permanent, basis.

- Perhaps an alternative would be to allow local library Boards to have an option of turning over operations of their local libraries to the System if they so choose. I would guess that there may be several smaller community libraries that would exercise this option now.

- Classify public libraries into two categories: public libraries (which meet State standards) and reading centers which can be served by Public Library Systems in a different way.

- We have a unique structure for cooperation in place for over 20 years: System management of the two co-central libraries. This permeates the relationship among the three library boards and the three library staffs to the point that we have never had any governance or management problem between System and Central libraries. This arrangement could serve as a model for cooperative Library Systems throughout the state.

Suggestions from PLS participants concerning communications:

- At least provide board agenda ahead of time so that member library directors and representative trustees can discuss issues on the agenda before the trustees attend board meetings.
- Better communication, all trustees members of NYSALB, and incentives to take advantage of training opportunities.

Suggestions from PLS participants concerning regulations:

- The Commissioner's Regulations tie us to providing services needed 20 years ago - or needed in other parts of the State. They also require activities that are unacceptable to our member libraries. The Commissioner's Regulations must be rewritten to allow for the great variety and disparity of libraries in New York.
- Realize the basic incompatability of a cooperative System working with a federated System.

E.4.2 Suggestions Concerning Governance from Reference and Research Library Resources Systems (RRLRS) Participants

Suggestions from RRLRS participants concerning overall System structure:

- Intersystem coordination, and elimination of poor communications and even mistrust, could be achieved by mandating the presence on Public Library System boards of both a RRLRS' representative, and a representative from a School Library System council in the region.
- I would suggest that a 10th RRLRS be created in the metropolitan New York City area. The current METRO region appears to be unmanageable.

Suggestions from RRLRS participants concerning board make-up:

- Make representation truly "Cross Representational." In other words, the Board of Trustees or Council of each type of Library System must have representatives from each of the other types of Systems in that region. (Presently, Public Library System boards do not provide for representation from other types of Library Systems.)

- While existing governance structure is currently adequate, we do feel the lack of recognition that the Public and School Library System representation on the Board, the RRLRS do not have comparable representation on Public Library Systems boards.

- In order not to make representation favor one System or the other, only one seat for each TYPE of System should be mandated (i.e., only ONE PLS rep, only ONE SLS rep, etc., regardless of how many Public or School Library Systems are present in the area).

- In all cases, those board or council members who are representing other Systems should be Ex-Officio, so that no voting power over System policies will result, and so that participation is clearly meant to improve communications.

- There should be greater numbers of School Library System representatives on the region's board and this representation should be required in SED regulations.

- All lay board members, no guaranteed seats.

- Make the Board representative of the membership in an equitable fashion with lay/research representation added.

- The good will and objectivity of trustees as well as state law and regulations mandate representation by type of library. A possible refinement of this for future consideration might be for some representation based on library activity based on a RRLRS mission, e.g., resource sharing, regional coordination, etc.

- The best alternative suggestion possible would be to have an all lay board of trustees. In that way, all the problems previously cited, which tend to be caused by each type of System trying to protect its own interest, would be avoided. Mandated seats would be abolished, but a communications network might be instituted to exchange Board minutes between the different types of Library Systems in the region.

- Would recommend new State regulations on composition of RRLRS' Board, requiring inclusion of at least two School Library System representatives on every RRLRS' board.

- After regulations are changed to include SLS representation, then guidelines should be issued by DLD to help RRLRS' Councils move gradually toward boards with membership distributions of approximately 25% school, 25% public, 25% academic, 25% special/other. Also, the largest academic library in the region should continue to have a seat on the board, along with the largest public library, and two or three at-large members should serve on the board. Trustees shold be either lay or professional, or a mix of lay and professional, with at least two lay people on every RRLRS board.

- Election of trustees should continue to be undertaken by the full membership, with nominations made by the full board, so that "type of library" voting blocks do not develop.

- Open all but three Board of Trustees spots to open election.

- Elect SUNY representatives to the board.

- Require board members to absent themselves when funds for their institutions are being discussed.

Suggestions from RRLRS participants concerning communication:

- Hold board meetings at member libraries so that staff of these libraries could meet (say at lunch) with trustees to discuss issues.

- Hold at least one meeting of the entire membership just for council business.

Suggestions from RRLRS participants concerning training of trustees:

- Trustees need better initial orientation to Council responsibilities and the context of statewide library services, as well as continuing training or orientation. More contact with trustees of other Library Systems, libraries, and School Library System advisory councils would also make our trustees better informed, and improve their competence in their roles as trustees.

- The System should provide more education and information to smaller and less active member libraries on the existing governance structure and how they may participate in it.

Suggestions from RRLRS participants concerning committees:

- Committee input/participation is extremely important in planning and policy development. Committee structure should be maintained and should be organized flexibly to meet changing needs and issues.

E.4.3. Suggestions Concerning Governance from School Library System (SLS) Participants

Suggestions from SLS participants concerning BOCES:

- Unless financial support for SLS increases greatly only feasible place to base operation is in the BOCES. My individual situation would be improved if the SLS director were to be given BOCES director status and report to the Superintendent.
- BOCES should determine salary structure.
- Every Big City School District and BOCES should be required to actively participate on a SLS governing board in order to keep all administrators aware and concerned.
- Charter School Library Systems. We would not have to go through the RRLRS to apply for monies, i.e., automation monies. We would be able to take care of our own money with Council as overseers. Need legislative approval to change the governance structure.
- Give the BOCES a clear statement as to our role and function and in what manner we should be treated. A statement regarding our salaries would help a lot. A regional scale should be developed and mandated.
- Remove the School Library System from the domain of Civil Service or establish a School Library System Clerk title (combination of: Clerk-typist, Data Entry Clerk and Word Processing Clerk) at a competitive salary rate.
- To improve governance under the BOCES umbrella, the SLS should become a separate division instead of being "under" the Instructional Support Center.
- There are no easy answers since the BOCES delivery service is vital. System funding is the only aspect that impresses administration. Currently the system has no "teeth" so an independent governing board with mandated powers that deals with the BOCES board is the only answer for us to achieve any self direction and authority.

- It seems clear to this writer that governance of the BOCES-based SLS's should be patterned after that of more recently established Teacher Centers. They were placed within BOCES across the state, but function independently of the administrative structure of BOCES. They have, like the RRLRS, a Board of Trustees - therefore, the fiscal agent is not BOCES.

- Establish consistency among BOCES as to what services must be paid for and which must be provided under "administrative overhead". For example, some SLS's must foot the bill for photocopying and delivery while others have these services provided "in kind" by their BOCES or even their RRLRS.

- Exempt School Library Systems from Civil Service, as public and RRLRS are.

- Examine possibility of structure similar to Teacher Center.

- Not have SLS under a particular BOCES department, e.g., ED COM but put SLS in their own department with authority to sign own purchase orders and not report to BOCES for every action SLS takes.

- Perhaps the structure of the Teacher Training Center could be followed because it mandates the control of the center to the Governing Board, not the BOCES.

- Independent "Board of Directors" empowered to hire/fire, maintain fiscal responsibility, approve contractual agreements, etc.

- I see School Library Systems as needing to remain associated with a BOCES or City School District. Anything connected with school libraries is automatically placed in a "no-man's" category between the fields of library science and education. We are considered neither "true" librarians nor "true" teachers. Withdrawing from BOCES/City Districts would strain our tenuous relationship with educators. A more independent role within BOCES could be beneficial.

Suggestions from SLS participants concerning council make-up:

- RRLRS and Public Library Systems should not be council members--there is conflict of interest.

- Remove the requirement for PLS and RRLRS representation on the Council. This would alter the perception that we are subsystems of either.

- Currently the council is composed almost exclusively of librarians. I feel it would gain credibility by the inclusion of more administrators and perhaps a member of the BOCES board.

Suggestions from SLS participants concerning State-level responsibility:

- It would be helpful if the Bureau of School Library Media Programs had more control in those areas that directly affect the School Library Systems, e.g., RBDB funds, equal representation on regional policy making committees. School interests are out-voted both in the region and the State level.

- It is imperative to clarify the roles of the Bureau of School Library Media Programs and the Division of Library Development. Contact with the correct agency on a given matter is often questionable, and there are simply too many gray areas concerning the governance of the SLS's.

- The council can be made responsible for the System so that their decisions are binding. Also, if the director reported directly to the district superintendent instead of through two other layers of bureaucracy, it would be better.

APPENDIX F

STATEMENT FROM RFP

NEW YORK
THE STATE OF LEARNING

THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, N.Y. 12230

NEW YORK STATE LIBRARY
DIVISION OF LIBRARY DEVELOPMENT

April 10, 1987

LIBRARY SYSTEMS STUDY

Request for Proposal

April 9, 1987

REQUEST FOR PROPOSAL

LIBRARY SYSTEMS AND SERVICES STUDY, 1987

The New York State Library (NYSL) is seeking consultant services on a contractual basis for a projected study of library systems and their services in New York State.

I. PROBLEM STATEMENT

New York State has long had an outstanding commitment to libraries and library service, and library systems have contributed to a marked improvement in the efficiency and effectiveness of library service in New York State. Nevertheless, there is need for an unbiased study

- to examine and analyze the way New York's library systems are actually working today,
- to compare that to the intent of library laws and regulations and to needs for library services for all state residents, and
- to recommend changes and justify such recommendations where changing conditions indicate the need for them.

Such recommendations should primarily address needed changes that can be accomplished **within the existing system structure with its three types of systems; and should secondarily, if findings indicate, provide alternatives for restructuring.**

The study will cover the **same areas of concern for all three types of systems** and will pay particular attention to **relationships among systems of all types throughout** the state in furtherance of state policies and goals. With regard to public library systems, **the study will focus on the cooperative, federated and co-federated types of library systems.** Consolidated public library systems will be considered as part of statewide and regional resource sharing and other cooperative efforts, technological concerns, and funding, not not as regards their operations or their internal relationshops. (See Appendix A.1.) **The emphasis will be on systems, rather than on their members.**

II. SCOPE AND COMPONENTS

Five areas of inquiry (mission and services, governance, intersystem relationships and cooperation, funding and measurement) are the basis for the components which constitute the study.

A. Mission and Services.

At the core of the systems study is the need to examine what the systems are doing and how well they are doing it in light of both the original charge to the systems and changes (demographic, economic, technological, missions of libraries, etc.) over the last 20 years.

This component will evaluate the library systems' missions and services

- o against current needs,
- o against a projection of library service needs of 1992, and
- o against current and anticipated technological developments.

Central libraries will be considered in this component.

Recommendations are needed for future missions, roles, responsibilities, and services of systems. If these recommendations allow overlaps among the systems, the overlaps should be identified and justified. If changes are needed in the responsibilities of members of systems in their roles as members of systems to conform to service needs and state policies, options should be included for changes to the law and regulations.

Recommendations in this component will also include:

- o ways of increasing the benefits of technology for libraries and their users through library systems;
- o suggestions for assuring equity of service to un- and under-served groups (including those in areas under-served by libraries) throughout the state;
- o method or methods of providing in-depth reference and information services and materials for New York State residents;
- o analysis of the completeness of the statewide network, and recommendations for changes if any are needed;
- o analysis of the need for and feasibility of measuring systems' performance against statewide standards, and some options for standards.
- o the roles and responsibilities of the Division of Library Development in its relationships to systems, library resource sharing and cooperation.

B. Governance.

Recommendations in the governance component will focus on

- o the extent to which library and user constituencies are equitably represented on the governing bodies of the systems, and

- the extent to which members are given opportunities and accept responsibilities in the various governing processes.

Following examination and analysis, the consultant will determine whether each governance structure in the law and regulations is appropriate to its type, and effective in serving its constituency and will recommend appropriate changes in governance if needed.

Governance of local libraries is not included in the study.

C. Intersystem Relationships and Cooperation.

The component on relationships seeks the best ways for the state to encourage and facilitate resource sharing and cooperation among all types of libraries. A clearly defined and acceptable structure for cooperation among all types of libraries is needed.

The study will recommend changes, if and as needed, in the mechanisms and structures for networking to meet those needs of today's users best served by cooperation. It will examine and make recommendations on overlaps and ambiguities that affect intersystem relationships and on present and future opportunities for cooperation.

D. Funding.

Recommendations on funding should focus on

- the adequacy of the total funds available to perform the functions needed,
- methods of distributing the funds, and
- the degree and type of accountability required.

In order to make recommendations in this component, the consultant will need to look at the current program of formula aid, categorical aid, and competitive aid, in relation to statutory purposes, other findings in this study, equity of access to library materials and services throughout the state, and diversity of needs among the geographic areas of the state,

E. Measurement.

Recommendations are needed for an improved method of regularly collecting data needed to objectively measure progress toward program goals and to ensure accountability. Recommendations will identify measurements useful in determining success and will provide methods for the ongoing collection, communication, manipulation, and evaluation of data to measure system service and maintaining accountability.

APPENDIX G

COMPREHENSIVE LIST OF SERVICES

ATTACHMENT A

COMPOSITE LIST OF SYSTEM SHARED SERVICES, RESOURCES, OR ACTIVITIES

This attachment is a reference for you to use for identifying services provided by your Library System that are not given on the questionnaire. Space is provided on the questionnaire to fill in "other (please specify)."

1. ACCESS TO MATERIALS
    - 1.1 Intrasystem library loan to fill specific requests (i.e., loans only among libraries and/or headquarters in your library system)
    - 1.2 Intersystem library loan to fill specific requests (i.e., loans to and/or from other library systems or other libraries)
    - 1.3 Rotating collections (i.e., collections that rotate from library to library in the system)
    - 1.4 Pool collection(s) (loans from shared system pool(s) that is permanently maintained by headquarters or elsewhere)
    - 1.5 Bookmobiles, reading stations in otherwise unserved areas, etc.
    - 1.6 Other (please specify)

2. ACCESS TO EQUIPMENT
    - 2.1 Intrasystem library loan (temporary loans that are returned in a specified time period)
    - 2.2 Intersystem library loan (permanent or semi-permanent loans)
    - 2.3 Other (please specify)

3. METHOD OF LOCATING NEEDED MATERIAL
    - 3.1 NYSILL
    - 3.2 System-wide union catalog (specify format)__________
    - 3.3 Electronic databases (please specify; e.g., OCLC, BRODART)
    - 3.4 Providing direct dial access to individual library holdings
    - 3.5 Other (please specify)

4. SHARED OR COOPERATIVE LIBRARY OPERATIONAL ACTIVITIES

- 4.1 Circulation control
- 4.2 Collection development
- 4.3 Cooperative collection development
- 4.4 Acquisitions or ordering
- 4.5 Cooperative purchasing
- 4.6 Cataloging
- 4.7 Retrospective converstion
- 4.8 Catalog production for individual library
- 4.9 Union list/catalog production
- 4.10 Physical processing
- 4.11 Conservation/preservation
- 4.12 Reference, referral and research
    - 4.12.1 Manual searching of printed publication
    - 4.12.2 Online bibliographic searching
    - 4.12.3 Online other database searching
    - 4.12.4 Referral searching services
    - 4.12.5 Research analysis with written reports
    - 4.12.6 Other (please specify)
- 4.13 Materials examination
- 4.14 Delivery services
    - 4.14.1 Mail delivery
    - 4.14.2 In-system courier (vans, trucks, etc.)
    - 4.14.3 Telefacsimile
    - 4.14.4 BOCES delivery
    - 4.14.5 City school district delivery
    - 4.14.6 Other (please specify)
- 4.15 Recordkeeping for member libraries (e.g., accounting, payroll, billing, etc.)
- 4.16 Consultant services
    - 4.16.1 Adult
    - 4.16.2 Young adult
    - 4.16.3 Children's
    - 4.16.4 Youth services
    - 4.16.5 Audiovisual
    - 4.16.6 Outreach
    - 4.16.7 General automation and systems

        - 4.16.8 General consulting
        - 4.16.9 Hospital libraries
        - 4.16.10 To administrators
        - 4.16.11 To faculty
        - 4.16.12 To school library media specialists
        - 4.16.13 To other systems
        - 4.16.4 Other (please specify)
    - 4.17 Public relations materials and publicity
        - 4.17.1 Print products (e.g., posters, signs, pamphlets, exhibits, etc.)
        - 4.17.2 Newspaper articles
        - 4.17.3 Radio programs and spot announcements
        - 4.17.4 Television programs and spot announcements
        - 4.17.5 Other (please specify)
    - 4.18 Job information
        - 4.18.1 Job information (under grant)
        - 4.18.2 Operating center (e.g., JEIC)/providing service
        - 4.18.3 Other (please specify)

5. CONTINUING EDUCATION
    - 5.1 Workshops
        - 5.1.1 Member library staff (including library system staff)
        - 5.1.2 Board/council members
        - 5.1.3 Administrators, faculty, etc.
        - 5.1.4 Adult continuing education
    - 5.2 Special programs in regular library system meetings
    - 5.3 Shared professional collections
        - 5.3.1 For member library and system staff
        - 5.3.2 Other professional groups (please specify)
    - 5.4 Other (please specify)

6. OUTREACH
    - 6.1 Literacy
    - 6.2 English as a second language
    - 6.3 Service to jails and detention facilities
    - 6.4 Service to State correctional facilities
    - 6.5 Service to nursing homes

6.6 Special service to persons with impairments
  6.6.1 Deaf
  6.6.2 Blind
  6.6.3 Physically handicapped
6.7 Books by mail
6.8 Service to homeless
6.9 Early childhood development
6.10 Parenting
6.11 Aging
6.12 Other (please specify)

7. COMMUNICATION (NOT COVERED PREVIOUSLY)
7.1 Electronic mail/bulletin boards
7.2 Teleconferencing
7.3 System newsletters
7.4 System memos and flyers
7.5 Other (please specify)

8. COMPUTER FACILITIES & RELATED TELECOMMUNICATIONS (NOT COVERED PREVIOUSLY)
8.1 Computers
8.2 Terminals and peripherals
8.3 Special purpose equipment
8.4 Computer staff
8.5 Telecommunications (specify type)__________
8.6 Other (please specify)

9. GRANTS FROM SYSTEM FUNDS (NOT COVERED PREVIOUSLY)
9.1 Materials grants
9.2 Cash grants-general
9.3 Cash grants-incentive
9.4 Telephone services
9.5 Equipment such as microfiche readers, modems, etc.
9.6 Other (please specify)

10. ADMINISTRATION OF GRANT PROGRAMS (NOT COVERED PREVIOUSLY)

10.1 LSCA (Title I and/or III) grants
10.2 NEH grants
10.3 NY State Council on the Arts grants
10.4 Construction grants (State & Federal)
10.5 Automation grants
10.6 Hospital libraries grants
10.7 Coordinated collection development grants
10.8 Other (please specify)

11. MEMBER LIBRARY PARTICIPATION IN SYSTEM

11.1 Directors or librarians council
11.2 Committees representing member libraries
11.3 Ad hoc questionnaires
11.4 Liaison group
11.5 School library system council
11.6 Other (please specify)

12. DIRECT ACCESS TO MEMBER COLLECTIONS

12.1 Direct access to any library (member)
12.2 Intrasystem borrowers card
12.3 Intersystem borrowers card
12.4 Return of books to any library
12.5 Other (please specify)

13. GENERAL & ADMINISTRATION

13.1 Library system overhead and administrative activities
13.2 Administering 'pass through' funds (record amount of such funds in last column - 'Contract/Grant Amount')
13.3 Fringe benefits (vacations, sick leave, holidays, pension, insurance, etc.)
13.4 Facilities (rent, heat, light, janitorial, etc.)
13.5 Time devoted to State required paperwork, etc.
13.6 BOCES paperwork
13.7 Legislative and political lobbying
13.8 Other (please specify)